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Special measures for protection from sexual exploitation and abuse: a new approach

Report of the Secretary-General

Summary

The present report presents the Secretary-General's strategy to improve the Organization's system-wide approach to preventing and responding to sexual exploitation and abuse. The strategy focuses on four main areas of action: putting victims first; ending impunity; engaging civil society and external partners; and improving strategic communications for education and transparency. Pursuant to General Assembly resolutions 57/306 and 70/286, the report also provides data on allegations of sexual exploitation and abuse across the United Nations system and by non-United Nations international forces authorized by a Security Council mandate. The data cover the period from 1 January to 31 December 2016. The proposed actions by the General Assembly are set out in section VIII of the present report. Information on the related estimated resource requirements and the funding arrangements thereof is set out in the addendum to the present report (A/71/818/Add.1). The estimated resource requirements within the current budget periods will be absorbed within existing approved resources and consequently will not give rise to additional resource requirements under the approved programme budget for the biennium 2016-2017 or the budgets for peacekeeping operations for the financial period 2017/18.

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I. Introduction

1. At present, over 95,000 civilians and 100,000 uniformed military and police professionals serve the United Nations around the world. For these men and women, whether working in human rights or humanitarian affairs, development or peacekeeping, their days are filled with urgency and purpose, as well as with moments of doubt and reflection.

2. Individuals who work under the United Nations flag are deeply convinced that they can make a difference to help alleviate hardship, restore economic capacity, bridge divides or strengthen a fragile peace. Each one of us comes with personal and professional expectations that we hope to fulfil in the United Nations. We come to find a home for our passions, our ideas, our values and our principles. We come hoping to unleash our expertise and our energies to confront the harshest conditions and the worst suffering with steadfast effort and grace. We come expecting to add our voices and our deeds to those of colleagues and others who, like each of us, come ready to serve, not just work.

3. In order to succeed in its efforts, the United Nations relies on nations around the globe to support its activities and operations to protect the vulnerable and assist those in need. Over the decades, Governments and nations far removed from the sight of conflict, disaster and extreme privation have generously provided human and financial resources. United Nations peace operations alone represent the largest forward deployed presence in the world today but operate at costs well below what most countries would incur if they were to deploy on their own.

4. The men and women who serve the causes of the United Nations do so with selflessness and pride under challenging conditions — always difficult, sometimes remote, often austere and dangerous. Together, we promise to protect the weak, aid those in need, uphold the dignity of every human being and serve the cause of peace. We who take this promise seriously will not be complacent. We will not allow the behaviour of anyone who exploits the vulnerable and destroys lives to soil our reputations, diminish our contributions, sow disillusion among our champions or undermine our values.

5. We owe it to the communities we serve to take every possible precaution to reduce the risk of sexual exploitation and abuse. We must position ourselves to be particularly attentive and sensitive to the needs of victims, most of whom are women and girls, who rely on the United Nations for protection.

6. We must break down excuses and end impunity. Through the present report, I communicate my personal resolve to lead the collective effort, across the United Nations system, to stand up against sexual exploitation and abuse in all its forms.[1] With the power and energy of every Member State, the commitment of their finest professional military and police forces, the constructive engagement of civil society and outside experts, and the professionalism and pride of the dedicated men and women of this Organization, we can, together, bring this scourge to heel.

A. Taking stock

7. The United Nations has wrestled for many years with the issue of sexual exploitation and abuse. We know well that this problem is not exclusive to military forces, but rather that it can occur in any part of our system. Efforts by my predecessors across the United Nations have led to better awareness, training and

[1] A summary of the recommendations is set out in annex I to the present report.

reporting and more rapid assistance for victims. Member States have increasingly adopted best practices in preventing and responding to sexual exploitation and abuse.[2] Many initiatives, covering the entire range of prevention, enforcement and remedial action, have been outlined in prior reports on special measures for protection from sexual exploitation and sexual abuse. An update on the status and impact of a number of these initiatives is presented in annex III to the present report.[3]

8. Data collected system-wide in 2016 (see annex IV) indicate that 65 allegations of sexual exploitation and abuse involving civilians were reported, while 80 allegations were made against uniformed personnel. These 145 allegations[4] are associated with at least 311 known victims, the vast majority of whom (309) are women and girls, although there may be more.[5] The number of allegations has risen from 2015, a development partly explained by the continued strengthening of measures designed to encourage victims and witnesses to come forward. Non-United Nations international forces operating under Security Council mandates accounted for 20 allegations, involving an additional 20 victims.[6] The data also show that personnel in certain parts of the United Nations system as well as particular unit deployments account for the highest numbers of allegations. We feel certain that not all cases are reported.

B. Why does sexual exploitation and abuse continue to happen?

9. Across the globe, every society has practices that are deeply discriminatory against women, and, very often, institutions and laws are not doing enough to eliminate these practices. We must acknowledge that unequal gender relations lie at the heart of sexual exploitation and abuse, and that the potential for this behaviour poses a threat to women and the vulnerable wherever they live or work.

10. As shown by the data contained in the present report, nearly all victims of sexual exploitation and abuse by United Nations personnel are women and girls. Through its work worldwide, the United Nations must do more to promote gender balance and women's empowerment, in part, to counteract the conditions that can give rise to violence against women.

11. We also recognize that the United Nations often operates in circumstances of heightened risk for sexual exploitation and abuse, where the Organization must take stronger measures to detect, control and prevent behaviour of this kind. For example, reports of sexual exploitation and abuse by United Nations civilian or uniformed personnel occur proportionately more frequently in humanitarian assistance missions that typically involve broad, continuing and deep engagement with local populations at their most vulnerable — where people are hungry, displaced, desperate and under extreme duress, and where local public safety and legal systems are ineffective or wholly absent. In addition, heightened risk appears also to be associated with uniformed units that do not conform or adhere to United

[2] A compilation of recent best practices of Member States on prevention of and response to sexual exploitation and abuse is presented in annex II.

[3] See also A/69/779 and A/70/729.

[4] Of the 145 allegations, 103 are associated with reports related to peacekeeping and special political missions and 42 are associated with entities other than peacekeeping and special political missions.

[5] Of the 311 victims, 280 are associated with reports related to peacekeeping and special political missions and 31 are associated with entities other than peacekeeping and special political missions.

[6] As requested by the General Assembly in its resolution 70/286, the present report also includes data on non-United Nations international forces authorized by a Security Council mandate. In the interest of transparency and ease of access, I have instructed that all data be made available on a public website, as well as in annex IV to the present report.

Nations standards; in single-nationality deployments to remote locations; and among personnel, forces or partners that have no prior experience with United Nations field operations.

12. The persistence of sexual exploitation and abuse in the United Nations has also been compounded by several other factors: weakly enforced standards with respect to civilian hiring; little to no system-wide screening of candidates for prior history of related misconduct; ignorance of the values and rules of the Organization; a lack of uniform and systematic training across all categories of personnel; weak civilian or uniformed leadership that fails to reinforce conduct and discipline; a sense of impunity among those who perpetrate these acts; and insufficient attention and a lack of sustained efforts on the part of the senior United Nations leadership and Member States, until provoked by crisis.

II. Charting a course forward

13. I fully recognize that no magic wand exists to end the problem of sexual exploitation and abuse. Nevertheless, I believe that we can dramatically improve how the United Nations addresses this problem. To do so, I propose a four-part strategy:

(a) First, the United Nations will elevate the voice of victims themselves and put their rights and dignity at the forefront of our efforts. With greater benefit of the knowledge and support of external experts and organizations, we will take up the cause of victims from allegation to judgment. We will also tangibly improve the medical, social, legal and financial assistance provided to them, where appropriate. We will encourage fast-tracking of cases through better advocacy and through the full power and tools at the disposal of the United Nations. I will ask Member States and other partners to support these efforts;

(b) Second, I will work relentlessly to end impunity for those guilty of sexual exploitation and abuse. I will seek to establish greater transparency on reporting and investigations, as well as on administrative and judicial processes and outcomes, including clarifying limitations on the United Nations to ensure criminal accountability. I will work with Member States on their own efforts to act more swiftly on credible allegations, promote greater transparency in national judicial and administrative processes, and achieve justice and closure for victims. I will reinforce these objectives within the United Nations system with concrete steps towards creating a culture of prevention, pursuing initiatives designed to reconnect all personnel to the core values of the United Nations, raise awareness and training, and strengthen standards for hiring and retention;

(c) Third, I intend to build a truly multi-stakeholder network to support the United Nations effort to prevent and respond to sexual exploitation and abuse. My leadership team and I will engage more directly and continuously with civil society, as well as with external experts and organizations. We will open our thinking, processes and efforts to the advice and help of those from outside the United Nations, drawing on the wisdom of local communities and leaders, as well as of acknowledged experts and organizations around the world. We will seek expertise especially from those countries directly involved and with experience in United Nations peace and humanitarian operations;

(d) Fourth, I will reorient our approach to strategic communications to raise awareness worldwide regarding the problem of sexual exploitation and abuse, to address the stigma and discrimination that victims face, and to promote the United Nations as a global platform for sharing best practices in prevention and response. I will also greatly expand the use of technology and new media at all levels to aid in

preventive efforts and to increase transparency across the Organization in combating sexual exploitation and abuse.

14. To put this strategy in motion, I will focus first on ensuring that the United Nations has its own house in order. Within my own authority, I will pursue system-wide initiatives that directly engage leaders and personnel across the Organization. I have already directed that a number of the measures outlined in the present report be undertaken.

Reconnecting to United Nations values and principles

15. I will reach out to all United Nations personnel across the globe to reinforce the purpose and pride of service in the United Nations. I will instruct that every job opening include United Nations values and explain what adherence to these values means in practice. Moreover, every offer letter and contract will open with our values, contain text that specifically highlights the rules and regulations that pertain to personal conduct, especially regarding sexual exploitation and abuse, and describe in simple language the consequences for violating United Nations rules and regulations. Lastly, all staff members will be required to acknowledge upon entry, reassignment, and annually in writing that they are aware of our standards, that they personally commit to them, and that they understand fully the consequences of failing to do so. I have requested the Department of Management to work with all departments, offices, agencies, funds and programmes across the United Nations system to implement our standards across all applicable policies and procedures, including advertising, recruiting, hiring and retaining for every position.

16. I have also asked the Under-Secretary-General for Management to explore ways to strengthen the initial screening of candidates for every United Nations post, including the use of commercial services that can provide rapid and accurate feedback on the background of individual candidates as part of pre-recruitment formalities. We will adopt measures to ensure that individuals terminated from service in one part of the United Nations system owing to substantiated allegations of sexual exploitation and abuse will not be rehired in any other part. I will also request that a clause be included in every personal history profile, or its equivalent within the specific United Nations entity, as to whether the applicant was the subject of pending allegations or disciplinary measures at the time of separation and agreeing that past records of employment with other United Nations entities may be accessed. We will also cooperate, as appropriate, with Governments and external organizations in the conduct of their own reference checks that may involve such individuals.

17. I will invite the Ethics Office to examine the relationship between sexual harassment in the United Nations workplace and sexual exploitation and abuse in the field. United Nations staff should be especially clear on one message: leaders and managers should not engage in sexual relations with their subordinates. Doing so constitutes a breach of professional ethics and can do irreparable harm to the faith and trust in our collective integrity.

18. In pursuing the four elements of the strategy outlined above, I will also work closely with Member States, particularly those directly involved in supporting and hosting United Nations peace and humanitarian operations, across the full range of their political, social, economic, military and legal institutions. I will invite the Heads of State and Government of countries, especially those involved in United Nations peace operations, to join me in creating a circle of leadership as a visible demonstration of our common commitment to end impunity and strengthen measures to prevent sexual exploitation and abuse. I will call for a high-level

meeting in 2017, on the margins of the general debate of the seventy-second session of the General Assembly, to solemnize our commitments and collective pledge to increased accountability.

19. I will ask Member States to enter voluntarily into a compact with me, on an individual or collective basis, on specific measures to strengthen our efforts to address sexual exploitation and abuse. Still other initiatives identified and presented in the present report will require the approval of the United Nations bodies. **I call upon Member States to support initiatives related to both civilian and uniformed personnel. Together, in partnership, we can truly transform the way in which the world views and addresses sexual exploitation and abuse.**

III. Putting the rights and dignity of victims first

20. Our priority first and foremost must be to strengthen the support that we give to victims of sexual exploitation and abuse. Over the years, and in response to the innumerable tragedies that have plagued the world, the international community has developed extremely sophisticated ways to confront and respond to suffering. However, in doing so, and in dealing with the magnitude of pain and deprivation around the world on a daily basis, we have perhaps also inoculated ourselves against its worst effects. We must seek to restore our personal connections with and empathy towards victims of these heinous crimes in meaningful ways and give visibility to those who have suffered the most.

21. Therefore, I intend to provide victims a platform for their voice that the world will not be able to ignore. I will meet personally with victims to hear from them directly. I will let these survivors know that their protection is our priority and that going forward, the United Nations will be at their side to support them as they go through the healing process and rebuild their lives.

22. We also owe it to the communities we serve to take every possible precaution to reduce the risk of sexual exploitation and abuse. We must improve our approaches to assessing risk, and, when special circumstances demand special actions, we must take them.

23. Therefore, I have asked the heads of all entities with operations and programmes in the field to follow through personally on the requirement to conduct and issue the results of risk assessments of each operational deployment in respect of sexual exploitation and abuse, making full use of existing risk management tools. I have also asked them to propose measures to reduce the risk of sexual exploitation and abuse and to develop internal and external communications plans, drawing, as appropriate, on relevant external expertise. I have also asked them to ensure that they fully engage with victims, host Governments, local communities, other elements of civil society, and troop- and police-contributing countries, as appropriate. We will work to ensure that every new operation is able to draw on best practice from across the United Nations system, Member States and external organizations in undertaking risk assessments and implementing measures to combat sexual exploitation and abuse.

24. I am convinced that greater numbers of women throughout United Nations activities, and especially within uniformed contingents, would help advance United Nations efforts to prevent and respond to sexual exploitation and abuse. We have seen that increasing the number of women across our operations has allowed the Organization to build stronger relationships with the societies we serve. We believe that these strengthened relationships, in turn, improve both prevention and the quality of reporting, as a result of greater trust developed with local women and

communities. Increased numbers of women in peace operations also appear to lead to a decrease in the number of cases.

25. As part of my strategy to achieve gender balance in the Organization, the Departments of Peacekeeping Operations, Field Support, Political Affairs, and Management, along with colleagues in humanitarian, development and human rights operations, will work together to develop and promulgate policies to this end. I will require those missions and operations with open vacancies that lack gender parity at mid-levels and above to draw from the relevant rosters of candidates, with due regard to expanding the participation of troop- and police-contributing countries, or risk losing those resources.

26. For senior leadership appointments, I will require parity in all lists of proposed candidates for these positions. I expect the Task Force on Gender Parity and Equality in the United Nations System, established during my second week in office, to work closely with the leadership throughout the United Nations in formulating its priorities for action.

A. Victims' rights advocate

27. All victims of sexual exploitation and abuse must have adequate protection, appropriate assistance in its wake and reliable recourse to justice. Therefore, I will appoint a distinguished senior human rights expert to serve in my office, at the Assistant Secretary-General level, as a system-wide victims' rights advocate reporting directly to me. His or her activities will be supported by a small staff and he or she will work to ensure that reliable, gender-sensitive pathways exist for every victim or witness to file complaints and that assistance is rapidly and sensitively delivered.[7] The victims' rights advocate will also work with local authorities and civil society organizations to ensure that every victim's rights are protected through access to appropriate and timely judicial processes.

28. A number of Member States and non-governmental organizations have developed best practices and we will make use of that knowledge in formulating policies and programmes for the United Nations. The victims' rights advocate will work with United Nations entities across the system to ensure that every victim receives appropriate personal care, follow-up attention and information on the progress of his or her case. The dignity of victims must remain sacrosanct and we will work to ensure that their rights are respected as investigations and accountability processes unfold.

29. The victims' rights advocate will also work closely with government institutions, civil society and national legal and human rights organizations in both host countries and the countries of alleged perpetrators to build networks of support and to assist in ensuring that the full effect of local laws, including remedies for victims, are brought to bear. These networks will also facilitate the maintenance of

[7] Following the adoption of General Assembly resolution 62/214 on the United Nations Comprehensive Strategy on Assistance and Support to Victims of Sexual Exploitation and Abuse by United Nations Staff and Related Personnel, the Executive Committees on Humanitarian Affairs and on Peace and Security issued a guide that placed the responsibility for victim assistance mechanisms with the resident coordinator and specified that the mechanism should be operated under his or her auspices, with support from the United Nations country team and, where applicable, from the United Nations mission and humanitarian country team. This role falls within the responsibilities on addressing sexual exploitation and abuse in the job description for resident coordinators, as updated in 2009. As set out in the present report, the victims' rights advocate will work closely with those focal points and also assume a broader focus, including advocacy and liaison during all phases of investigation and follow-up.

updated information on judicial and administrative proceedings, which will help ensure access for victims and the protection of their rights. The victims' rights advocate will invite external experts, advocates and leading aid organizations to inform the development of policies and tools to strengthen support to victims.

30. Linked to this initiative, I have instructed my special representatives in the four peacekeeping operations where the highest numbers of cases of sexual exploitation and abuse are reported, namely, the United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic, the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo, the United Nations Stabilization Mission in Haiti and the United Nations Mission in South Sudan, to immediately identify a position at the mid-to-senior level to perform the functions of the victims' rights advocate on the ground. Going forward, I will request that these positions be formally established on mission staffing tables.

31. More broadly, in the humanitarian and development context, where cases of sexual exploitation and abuse call for similar special measures, I will request relevant entities to designate a mid-to-senior position with appropriate resources to assume the functions of the victims' rights advocate in the field.

32. Advocates in the field will work with and under the direction of the victims' rights advocate at Headquarters to develop policies, procedures and programmes to maintain direct and regular contact with the victims and assist them in gaining access to judicial redress and in receiving regular feedback on the status of their cases. Wherever possible, the advocates should draw on existing expertise in missions and United Nations country teams.

33. I have also instructed that the foregoing initiatives be harmonized with the 2016 draft victims' assistance protocol, which has been collaboratively developed to guide all United Nations entities in the field in providing sensitive, respectful assistance to victims in a coordinated manner, with special attention paid to the needs and circumstances of child victims. Following a pilot period, where the protocol will be tested in the field, and based on a careful review of the results and existing best practices, I will instruct its use globally across the United Nations system.

34. To resource increased support to victims, I ask Member States to consider a variety of mechanisms, such as **revising the terms of reference of the Trust Fund in Support of Victims of Sexual Exploitation and Abuse to permit direct assistance payments to include, for example, enabling victims to attend trials.** In this vein, **I also ask Member States to consider procedures to withhold reimbursement payments in the event that investigations are not undertaken, reported on and concluded in a timely manner and to transfer the amounts withheld to the Trust Fund.**

35. Finally, **I request that Member States receive claims from victims and call upon Member States to establish the mechanisms to do so**. I will ask the Controller to explore the possible use of ex gratia payments to victims in exceptional cases and where the aforementioned Member States' designated mechanisms do not lead to an appropriate outcome.

B. Secretary-General's protocol on preventing sexual exploitation and abuse

36. In addition, **for the establishment or renewal of any operation where heightened risk exists, I will propose to the mandating bodies that they endorse, as appropriate under their respective authorities, a special protocol on preventing sexual exploitation and abuse as part of the mandates and budgets**

that they approve. I will develop the terms of the special protocol, which could include, for example, strict guidelines regarding non-fraternization and certification of predeployment training for every individual as a precondition to deployment, similar to mandatory medical clearance and compulsory training on security in the field.

37. The protocol could also include prohibitions on the consumption of alcohol and a requirement for individual written attestations to confirm that the individual understands the values and principles of the United Nations, that he or she knows, understands and commits to following the rules and regulations regarding sexual exploitation and abuse, that he or she understands that credible allegations of violations will result in immediate suspension of duties and removal from the mission area and that the relevant Member State or individual concerned will be responsible for costs associated with his or her repatriation. I will also propose measures to improve welfare and living conditions for those serving in particularly challenging locations.

38. Finally, **I will seek Member State support in establishing a system-wide consolidated confidential repository of case information, to be placed under the supervision of the Special Coordinator on Improving the United Nations Response to Sexual Exploitation and Abuse, that will serve as the United Nations centralized repository of cases.** The repository will build on the Misconduct Tracking System developed by the Department of Field Support, to help ensure that information is appropriately tracked, while safeguarding the victim's rights to privacy and confidentiality. To aid in accountability for victims, I have instructed the Special Coordinator to propose revisions to the way in which the United Nations presents data on allegations, to make it easier to understand how many victims are affected and to improve United Nations responses.

IV. Ending impunity

39. Ending impunity requires strengthened measures in reporting, investigations and follow-up to hold responsible individuals to account. A matrix that outlines United Nations responsibilities for actions to prevent and respond to allegations of sexual exploitation and abuse is presented in annex V to the present report.

A. Better reporting

40. I will take additional steps to improve speed, accuracy and comprehensiveness in reporting serious allegations of sexual exploitation and abuse. In this respect, the standardized incident reporting form being developed by the Special Coordinator's office will help to ensure that all parts of the United Nations system gather the same information and present it in the same way. I have directed the Chef de Cabinet to conclude the deliberations necessary to launch the pilot of the form expeditiously.

41. The widespread use of the form will serve three important purposes: it will help to accelerate the provision of appropriate aid to victims; help to regularize the initiation of appropriate administrative and criminal investigations; and provide system-wide empirical data for more in-depth analysis of events to aid in understanding patterns of misconduct, in order to devise more effective preventive measures. Based on the results of the pilot and with the incorporation of existing best practices, I expect to have a stronger policy on reporting by the end of 2017. I will also explore additional means for strengthening the collection and reporting of system-wide data through the effective use of technology.

42. I will ask that the United Nations resident coordinators work closely with the victims' rights advocate in developing stronger outreach to local communities and support the strengthening of community-based complaint mechanisms, drawing on collaboration with all relevant United Nations entities and non-governmental partners at the country level.

43. To support these efforts, I will ask the Under-Secretary-General for Communications and Public Information to work closely with the victims' rights advocate in formulating effective outreach strategies. I have also instructed the Chief Information Technology Officer to identify and field-test technologies and applications to permit more rapid and higher-fidelity reporting from the field.

44. I will actively enforce the newly issued policy on whistle-blowers, empowering and encouraging staff to report cases of sexual exploitation and abuse — even when, or particularly if, they involve high-level United Nations officials, supervisors or colleagues. All United Nations personnel must have confidence to report wrongdoing when they see it — every whistle-blower must believe that the Organization will protect him or her when he or she comes forward.

B. Strengthened investigations

45. There is a clear and present need to improve and strengthen the investigative capacities of the Organization. To achieve greater coherence and more effective action, this may require a fundamental structural change, such as consolidating United Nations investigative capacities for sexual exploitation and abuse. Currently, the Secretariat and its separately administered funds and programmes have seven offices, each with their own investigative arm.[8] Pooling sexual exploitation and abuse investigative capacities will enable us to maximize resources and expertise, while developing and applying common standards based on best practice. In addition, the creation of specialist cadres of sexual exploitation and abuse investigators would enable us to better respond to allegations. Such cadres could include particular expertise in forensic analysis, sexual crimes and the special needs of children. They will also help in developing a programme of continuous professional development.

46. Throughout this process, I will encourage a more open and collaborative approach with external experts and advocates in order to strengthen and improve the independence and quality of investigations. The United Nations will also seek advice on best practices regarding procedures to respect the rights of victims, in particular, women and children.

47. These steps will help to build stronger cases in United Nations internal administrative proceedings, as well as in cases referred to Member States for their action. I will work with the President of the General Assembly to **present proposals for Member State consideration**.

48. I will also invite the Under-Secretary-General for Internal Oversight Services to work with the Office of the United Nations High Commissioner for Human Rights and external experts to explore ways to ensure greater protection for victims and witnesses throughout the investigative process.

[8] The Office of Internal Oversight Services, the Office of Audit and Investigations of the United Nations Development Programme, the Internal Audit and Investigations Group of the United Nations Office for Project Services, the Office of Internal Audit and Investigations of the United Nations Children's Fund, the Department of Internal Oversight Services of the United Nations Relief and Works Agency for Palestine Refugees in the Near East, the Office of Audit and Investigation Services of the United Nations Population Fund and the Inspector General's Office of the Office of the United Nations High Commissioner for Refugees.

C. Improved follow-up and accountability

49. To engage United Nations leadership more decisively in accountability efforts, I have asked the heads of all parts of the United Nations system to develop a programme of unannounced visits to their relevant field operations.

50. I have also directed the establishment of a system in which leaders at every level, including myself, will certify annually in a management letter that instances involving credible allegations of sexual exploitation and abuse from the areas of their responsibility have been accurately and fully reported. These management letters will also contain an affirmation that all appropriate measures have been taken to address the allegations in accordance with established rules and procedures and that relevant preventive measures have been instituted, including that every person serving under their authority has undergone appropriate training. I will mandate that recent e-learning initiatives, including those developed by the Department of Field Support and the United Nations Children's Fund, among others, be accessible system-wide in order to facilitate such training.

51. I will also seek to establish clear procedures to address unacceptable behaviour by implementing partners and commercial vendors who operate in the name of the United Nations. In so doing, I will improve our consistency in enforcing consequences for proven acts of sexual exploitation and abuse.

52. I do not believe in national humiliation or wholesale blame. To preserve the reputation of the Organization and the Member States acting in its name, we will strive to neither solicit nor accept contributions to our work by any person, company or Government that does not demonstrate an active commitment to the values, principles and approaches outlined in the Charter of the United Nations, as reflected in the present report. I have asked the Heads of the Departments of Field Support and Management and the Office for the Coordination of Humanitarian Affairs to reinforce this message in all relevant memorandums with troop- and police-contributing countries as well as with external partners and commercial contracts. I will ask the same of United Nations agencies, funds and programmes.

53. The Member States have continued to innovate and promote best practices in combating sexual exploitation and abuse. The Organization stands ready to foster and encourage capacity-building and learning in this regard, including by facilitating troop- and police-contributing country cooperation on best practices.

54. Member State engagement is especially important in following up on cases referred for criminal accountability, and I have instructed the Legal Counsel, in his role of coordinating the Organization's response to accountability-related requests for cooperation from Member States, to explore ways to improve this process. When Member States fail to follow up after the United Nations refers cases for their action, I am ready to engage Heads of State and Government. I will work with Member States to create faster, more transparent channels of communication to keep all stakeholders informed of the actions taken to pursue justice. I renew the call upon Member States to extend extraterritorial jurisdictions over crimes that may be committed by their nationals when assigned to the United Nations or operating under its authority. Before the end of 2017, I will regularly report on the status of proceedings and other Member State action on cases for both uniformed and civilian personnel.

D. A compact with Member States

55. United in common purpose, the Organization and the Member States can be an unstoppable force for positive change. There is much for all of us to do. I have begun by looking inward and by taking strong and urgent action on achievable system-wide measures that fall under my authority, prioritizing increased transparency and accountability. Wherever it can, the Organization will take action to support and help to strengthen the efforts of the Member States. Indeed, many essential tasks fall to Member States to carry out within their authority and under their jurisdiction.

56. Through painful experience, the United Nations has developed invaluable insights regarding preventing and responding to sexual exploitation and abuse. We still have much to do, but the fact remains that no other comparable organization has paid more attention, devoted more resources or established as many systems to combat this scourge. I am keen to share that institutional knowledge with Member States in a more systematic manner and work with them on all measures that can advance this cause.

57. I, therefore, propose the creation of a voluntary compact between the Secretary-General and Member States supporting United Nations operations on the ground. This compact would send an unprecedented signal to the world of our joint commitment and mutual accountability on this issue.

58. As a voluntary undertaking by Member States, the compact would aim to achieve three overarching objectives: (a) to clearly define the specific commitments of both the Organization and the Member States in advancing our joint efforts to combat sexual exploitation and abuse; (b) to accelerate the timely implementation of agreed measures; and (c) to strengthen coordination and coherence in our collective response in cases involving civilian and uniformed personnel alike.

59. I will seek Member States' help in preparing this compact for signature, beginning with the proposed 2017 high-level meeting on combating sexual exploitation and abuse, as noted earlier. For my part, I urge the Member States to consider, among other things, the following elements for inclusion in the compact:

(a) On behalf of the United Nations:

(i) Identify and launch a systematic mechanism to share and publicize the Member States' best practices and lessons learned;

(ii) Foster and encourage capacity-building and learning on ways to combat sexual exploitation and abuse, including by facilitating bilateral cooperation on best practices;

(iii) Identify specific measures to improve the living and working conditions of persons and units, particularly those deployed in remote and austere locations;

(iv) Require individuals assigned to all United Nations field-based activities to carry the "no excuses" card that restates our rules and provides contact details for reporting allegations;

(v) Explore modalities to recognize excellence in leadership and in conduct and discipline;

(vi) Review and propose changes to the rules governing the award of the United Nations medal to strengthen pride in United Nations operations;

(vii) Integrate regional peacekeeping training centres more consistently into the predeployment phase of United Nations operations, and examine ways to use those centres to prepare future leaders in the field;

(viii) Improve outreach and create more active pipelines of professionals for potential service, particularly those from troop- and police-contributing countries;

(ix) Agree to report regularly on the implementation of its commitments;

(b) On behalf of the Member States:

Prevention

(i) Aim to deploy only commanders with prior peacekeeping experience and require them to develop specific plans and programmes for the prevention of sexual exploitation and abuse while deployed;

(ii) Agree to policies and procedures, drawn from best practice, to ensure more effective oversight of company and smaller single-nation units deployed in remote mission areas, for example clear, enforceable boundaries between military compounds and local populations and supervised visits in groups during off-duty periods, drawing on Member State best practice and lessons learned;

Victims' assistance

(iii) Commit to full cooperation with the victims' rights advocate;

(iv) Appoint focal points in capitals to serve as a direct liaison for victims, to address potential paternity claims and to assist the United Nations to follow up on cases;

(v) Identify and take measures for the protection of victims and witnesses during investigations and judicial proceedings;

(vi) Consider and set in place protocols to ensure child- and victim-sensitive investigations and make provisions for the special status of children;

(vii) Ensure that all appropriate disciplinary and judicial decisions and remedies are enforced;

(viii) Agree to report regularly on the implementation of the compact;

Investigation

(ix) Commit to joint investigations with the United Nations or with independent, external experts so as to enhance transparency;

(x) Impose penalties on those who knowingly fail to report allegations;

(xi) Commit to implementing strong policies on whistle-blowing that encourage the reporting of cases of sexual exploitation and abuse and enforce appropriate protections for whistle-blowers;

(xii) Agree to in situ courts martial or permit their live-streaming to enable victims' access to criminal proceedings;

(xiii) Agree to obtain DNA, on a voluntary basis, from all deployed personnel for purposes of exoneration or conviction of individuals accused of sexual exploitation and abuse, where such evidence would be indispensable;

(xiv) Ensure that national investigative officers have the relevant expertise in investigating sexual exploitation and abuse to elevate the effectiveness of those officers in joint investigations, and, when possible, have the officers report directly to national prosecutors;

(xv) Suspend payments due to alleged perpetrators in the face of credible allegations and agree to the implementation of procedures to withhold

reimbursements in the event that investigations are not undertaken, reported on, or concluded in a timely manner;

(xvi) Implement procedures, in accordance with General Assembly resolution 70/286, to transfer withheld payments to the Trust Fund in substantiated cases;

(xvii) Undertake to provide monthly updates on all phases of investigations;

Accountability

(xviii) Agree to exercise or establish extraterritorial jurisdiction for crimes committed by civilian personnel when assigned to the United Nations or when operating under United Nations authority;

(xix) Agree to repatriate, at national or personal expense, personnel who do not demonstrate adherence to the prohibitions on sexual exploitation and abuse;

(xx) Commit to disciplining personnel who are repatriated in accordance with their national disciplinary procedures;

(xxi) Agree to hold leaders in the chain of command accountable, as appropriate, when they fail to establish appropriate conditions to prevent sexual exploitation and abuse, fail to report sexual exploitation and abuse, or fail to hold personnel in their chains of command appropriately accountable;

(xxii) Ensure that mechanisms are in place to ensure accountability even in situations where culpable individuals have left national service;

(xxiii) Agree to report regularly on the implementation of the compact.

E. Non-United Nations forces

60. The conduct of non-United Nations international forces authorized under Security Council mandates and the implications of their deployments on local populations are a matter of concern to the United Nations. We must jointly strengthen measures to ensure that when the United Nations partners with individual States or regional organizations to preserve peace and protect people from conflict and violations, the standards we set for ourselves are upheld by all those who deploy under the auspices of the United Nations.

61. I call upon the Security Council to ensure that, when it authorizes the deployment of non-United Nations international forces, it calls for States to take preventive measures, ensure both the accountability of perpetrators and remedies for victims in collaboration with the victims' rights advocate, cooperate with the United Nations in monitoring, investigating and reporting allegations, and keep the United Nations informed of progress and outcomes. States should be required, prior to deployment, to adhere to arrangements similar to those in place for United Nations troop- and police-contributing countries, which could include measures such as adopting standards of conduct and policies containing clear prohibitions and measures in cases of breaches, ensuring risk assessments and training, screening of personnel, holding perpetrators accountable, ensuring rapid and effective investigations and cooperating with the victims' rights advocate.

62. Where the United Nations provides support to non-United Nations international forces, I will consistently apply the Human Rights Due Diligence Policy on United Nations Support to Non-United Nations Forces.[9] In assessing the suitability of potential troop- and police-contributing countries when assuming the lead for operations already in existence, and of forces receiving support, the United

[9] A/67/775-S/2013/110.

Nations will apply the same standards. I will also consistently implement the United Nations policy of not accepting troops or formed police units from countries whose forces are listed in my reports on children in armed conflict and on conflict-related sexual violence.

63. I will ask the leadership of regional organizations to work with me to propose additional ways to strengthen operations in order to reduce the potential for sexual exploitation and abuse. I am convinced that this collaboration will be mutually beneficial and will result in concrete proposals to each of our governing bodies for consideration.

V. Engaging civil society and external partners

64. I believe that the United Nations has much to gain from closer interaction with civil society and external experts and organizations in its efforts to combat sexual exploitation and abuse.

65. I will establish a standing advisory board, reporting to me, that will include among its members leading figures from civil society organizations and other external experts. The functions of the board will include making recommendations to strengthen preventive measures against sexual exploitation and abuse, including by reviewing mission and country team risk assessments and best practice, as well as tracking our performance in these areas. I will issue invitations to a number of civil society leaders to join the board and I will request members to commit to serving a two-year term, with the possibility of renewal.

66. I will ask the Chair of the Global Compact to form a business advisory group on a cost-neutral basis to aid us in the formulation of additional measures aimed at limiting the potential for violations of our values, principles, rules and regulations in business interactions, while exploring creative ways to recognize those who model best practice.

VI. Improving strategic communications for education and transparency

67. I will pursue an approach to communications that emphasizes quality and speed, with the aim to increase the public's understanding of this malignancy and the role we all must play in preventing, reporting and responding to instances of sexual exploitation and abuse everywhere. We will seek the help of external experts and organizations to draw on best practices worldwide, raise awareness and promote greater education on the warning signs and risks of sexual exploitation and abuse.

68. Leadership in today's world must be based on a bedrock of trust. In order to expand trust in the work of the United Nations, I intend to strengthen the Organization's accountability through greater system-wide transparency and I will use the public information tools at our disposal, including technology and social media, where appropriate, to publicly disseminate information on credible allegations with due regard for individual rights and privacy.

69. In order to achieve greater levels of transparency, I have instructed the Under-Secretary-General for Communications and Public Information to work with relevant departments and offices, as well as with the Chief Information Technology Officer, to establish a system of public disclosure of credible allegations and follow-up measures, as appropriate, in particular to host communities, contributing States and

other interested stakeholders, giving due consideration to the rights of victims and the accused.

70. In addition, the global public has long become accustomed to learning of serious social transgressions through news outlets in addition to official sources. The United Nations must responsibly and regularly make use of respected news outlets in the service of greater transparency and accountability. My Spokesperson will establish a system to ensure that appropriate facts regarding credible reports of sexual exploitation and abuse are publicly and regularly released to the media, as standard practice.

71. We must keep abreast of information and communications technologies as they continue to advance. In doing so, we must also address online sexual exploitation and abuse. The Internet has become a sophisticated and anonymous platform, which perpetrators use to facilitate exploitation and sexual crimes in many settings. For example, perpetrators often store and share images, videos and other information about victims and circulate such materials widely. I will ask the Chief Information Technology Officer to develop proposals to help mitigate this risk.

72. Strategic communications can be a valuable tool in preventing and combating such threats, by widely informing people everywhere of the risk factors and warning signs of sexual exploitation and abuse. I have asked the Under Secretary-General for Communications and Public Information to liaise closely with the Office of Internal Oversight Services and external organizations that possess specialized expertise in order to strengthen preventive efforts and reporting.

73. I also believe we must message consistently and clearly on the need for every individual to be personally involved in the prevention and reporting of sexual exploitation and abuse. I am instructing my leaders across the United Nations system to conduct town hall meetings, visits to the field and videoconferences, as well as other actions, so as to connect directly with their workforces on the values and principles of the United Nations, with special emphasis on preventing and responding to sexual exploitation and abuse.

VII. Sustaining efforts going forward

74. I intend to stay personally and continuously engaged, fully recognizing that no large bureaucracy is self-coordinating, and to ensure sustained and high-level attention to the fight against sexual exploitation and abuse. I have requested Member States to extend the mandate of the Special Coordinator so as to improve the United Nations response, within my Executive Office, to sexual exploitation and abuse, and to support the strengthening of the mandate. The Special Coordinator will be responsible to me, through the Chef de Cabinet, to follow up on the recommendations outlined in the present report, as well as to continue work begun earlier.

75. I have asked the Chef de Cabinet to resume the regular meetings of the High-level Steering Group on preventing sexual exploitation and abuse, and I will require the heads of departments, offices, funds and programmes to attend the meetings in person. I have also instructed that the system-wide working group on sexual exploitation and abuse continue to operate in preparing and coordinating issues and the implementation of initiatives in support of the High-level Steering Group.

76. The Special Coordinator, through the Chef de Cabinet, will work with and review the adoption by my special representatives and the resident and humanitarian coordinators, in line with their current responsibilities, of strategies and country action plans to prevent and respond to sexual exploitation and abuse. Where such

plans have not yet been adopted, I will instruct that they be developed and enacted before the end of 2017. The plans must include provisions for community engagement, complaint reporting, outreach to and protection of victims, as well as measures that may be necessary to ensure the protection of witnesses and family members. They must identify specific staff positions and incumbents with responsibilities to take complaints, provide assistance and facilitate protection. Plans will also include the level of personal engagement that would be required of my special representatives and the resident and humanitarian coordinators, specifically with regard to victims and the support to be provided to them. I also expect each special representative, resident and humanitarian coordinator and head of office and agency to report to me directly and in real time on any obstacles that they may encounter in fully implementing their plans.

77. We all understand that the problem of sexual exploitation and abuse is not unique to the United Nations. Yet we must also accept that the United Nations has become uniquely associated with this issue and therefore bears a unique responsibility to set a global standard for addressing this scourge and dealing with its impact effectively, humanely and justly.

78. We cannot change the past, but we can build a better future. To this end, I commit fully to the programme that I have outlined in the present report, and I ask Member States to join me in a unified effort to make the United Nations an example of best practice and global leadership in the fight against sexual exploitation and abuse. Together we can achieve this goal for the greater good of our Organization and the work that it does and, most importantly, for the greater good of those we serve.

VIII. Action by the General Assembly

79. Throughout the present report, I have sought to emphasize actions that I can take within my authority as Secretary-General, and I have outlined, in addition, several immediate measures requiring the attention of the General Assembly. The Assembly is requested to:

(a) Take note of my renewed emphasis and actions to address the problem of sexual exploitation and abuse;

(b) Take note of steps to introduce victims' assistance support functions at Headquarters and in field locations, including through the victims' rights advocate functions, which will be reported in the next budget cycle of the respective entities;

(c) Endorse the revision of the provisions of the Trust Fund in Support of Victims of Sexual Exploitation and Abuse, to allow additional assistance to victims, as might be appropriate and necessary;

(d) Endorse the establishment of procedures to withhold reimbursements in the event that investigations are not undertaken, reported on and concluded in a timely manner, and to pay the amounts withheld into the Trust Fund;

(e) Endorse the proposal for Member States to receive claims from victims and the related establishment of mechanisms to do so;

(f) Endorse, as appropriate under its authority, a Secretary-General's special protocol on preventing sexual exploitation and abuse for the establishment or renewal of any operation where heightened risks exist, as part of the mandates and budgets that are subject to its approval;

(g) Endorse the establishment of a system-wide confidential repository of case information to be centralized under the supervision of the Office of the Special Coordinator;

(h) Consider proposals to strengthen investigative capacity in sexual exploitation and abuse cases for the Secretariat and its separately administered funds and programmes, as well as across the wider United Nations system;

(i) Endorse the principles set forth above for inclusion in the voluntary compact with Member States, for consideration at the high-level meeting;

(j) Endorse the extension of the mandate of the Special Coordinator on Improving the United Nations Response to Sexual Exploitation and Abuse to improve United Nations response to sexual exploitation and abuse and support the strengthening of that office.

Annex I

Summary of actions and recommendations

A. Initiatives of the Secretary-General

Proposal	*Lead in consultation with relevant stakeholders*
Putting the rights and dignity of victims first	
1. Appoint a system-wide victims' rights advocate	EOSG/OSC
2. Instruct special representatives in missions with high numbers of sexual exploitation and abuse reports to immediately identify a position, at the P-5 level or above, to assume the functions of the victims' rights advocate	DPKO/DFS/DPA
3. Meet and hear from victims directly	EOSG/OHCHR/UNHCR/UNICEF/DPKO/DFS
4. Develop a victims' assistance protocol to be tested in the field	UNICEF, victims' rights advocate, OHCHR, OIOS and DPKO/DFS
5. Request the Controller to explore the possible use of ex gratia payments to victims in exceptional cases and where the Member States' designated mechanisms do not lead to an appropriate outcome	EOSG, Controller
6. Instruct senior leadership in field operations to develop and submit an annual plan of action to combat sexual exploitation and abuse, with specific actions and timelines, and report to the Secretary-General directly on progress and obstacles for implementation	System-wide/field presences
7. Request all entities with operations and programmes in the field to conduct and issue the results of risk assessments of each operational deployment in respect of sexual exploitation and abuse, making full use of existing risk management tools	System-wide/field presences
8. Request the Ethics Office to conduct a review of the relationship between sexual harassment in the United Nations workplace and sexual exploitation and abuse in United Nations operations in the field	Ethics Office
9. Ask OHCHR to work with the Security Council when it authorizes the deployment of non-United Nations international forces and work with States to take preventive measures, ensure the accountability of perpetrators and ensure the victims' rights are protected	OHCHR
Ending impunity	
10. Propose the mandating bodies to endorse, under their respective authorities and for the establishment or renewal of any operation where heightened risk exists, a special protocol on the prevention of sexual exploitation and abuse as part of the mandates and budgets they approve	DPA/agencies, funds and programmes/DPKO/DFS
11. Pooling sexual exploitation and abuse investigative capacities will enable us to maximize resources and expertise, while developing and applying common standards based on best practice	System-wide/OIOS/other investigative agencies
12. Devise appropriate and necessary technology to permit the live-streaming of and victim access to courts martial that must be conducted on national territory owing to national regulations	CITO/DFS/DPKO
13. Establish policies and procedures for the collection of DNA on a voluntary basis to facilitate the exoneration or conviction of individuals accused of serious crimes	System-wide, DM/DFS/DPKO/DPA

Proposal	*Lead in consultation with relevant stakeholders*
14. Notify the Executive Office of the Secretary-General when follow-up attempts go unanswered by Member States regarding investigations	OLA/OHCHR/DPKO/DFS
15. Instruct Under-Secretaries-General for peace operations, field support and political affairs to develop a programme of unannounced visits to field missions	System-wide, DPA/DPKO/DFS
16. Request all relevant entities to enforce the suspension of staff with credible allegations of sexual exploitation and abuse against them	System-wide/DM/DFS/agencies, funds and programmes
17. Request the Chef de Cabinet to conclude deliberations necessary to launch the pilot of the system-wide uniform incident reporting form	EOSG/OSC/DPKO/DFS
18. Request the Ethics Office to develop mechanisms to enforce the policy on whistle-blowers to empower, encourage and protect staff who report cases of sexual exploitation and abuse	DM/Ethics Office
19. Request the Ethics Office to include in the Leadership Dialogue a discussion item on sexual exploitation and abuse	Ethics Office
20. Identify and test mobile technologies and applications to permit rapid, high-fidelity reporting from persons in the field	CITO/DFS
21. Instruct members of senior leadership system-wide to issue management letters to their governing bodies annually, certifying that all allegations of sexual exploitation and abuse brought to the attention of their entity have been reported and appropriate action has been taken	System-wide/EOSG
22. Request the Department of Management to explore ways to strengthen initial screening of candidates for every post as part of pre-recruitment formalities	System-wide/DM
23. Request the Department of Management to adopt measures and work with other entities to ensure that individuals whose appointment was terminated in one part of the United Nations system as a result of substantiated allegations of sexual exploitation and abuse will not be rehired in any other part of the United Nations system	System-wide/DM
24. Request the Department of Management to include in every personal history profile or its equivalent within the specific United Nations entity a clause in which applicants agree to access to past records of their employment with other United Nations entities	System-wide/DM
25. Request the Department of Management to specify, in all job openings and letters of appointment, the United Nations values and expectations of conduct and clearly articulate the consequences for misconduct	System-wide/DM, agencies, funds and programmes
26. Request the Department of Management to require staff members to acknowledge in writing upon entry and reassignment and on a yearly basis their knowledge and understanding of the United Nations standards of conduct, particularly regarding sexual exploitation and abuse, and the consequences for violating them	System-wide/DM
27. Develop an annual written attestation that every staff member must undertake to affirm that they have read and understood the United Nations code of conduct and consequences of failing to abide by the rules and regulations	System-wide
28. Instruct sexual exploitation and abuse training to be mandatory, prior to deployment, for all categories of personnel, uniformed and civilian, at all levels	System-wide
29. Require individuals assigned to all United Nations field-based activities to carry the "no excuses" card that restates our rules and provides contact details for reporting allegations	DPKO/DFS/DPA, agencies, funds and programmes

Proposal	*Lead in consultation with relevant stakeholders*
Engaging external partners	
30. Establish a circle of leadership, comprising global Heads of State, to make a visible commitment to end impunity for sexual exploitation and abuse	EOSG/OSC
31. Establish a standing advisory board, reporting to the Secretary-General, that will include among its members leading figures from civil society organizations and other external experts	EOSG/OSC
32. Request the Chair of the Global Compact to create a business advisory group to aid the formulation of additional measures to limit the potential for violations of our values, principles and rules in business interactions, while exploring creative incentives	EOSG/OSC
33. Initiate a more open and collaborative approach with external experts and advocates in order to strengthen and improve the independence and quality of investigations	OIOS, OLA, OHCHR, the International Tribunal for the Former Yugoslavia and others, as relevant, in consultation with external legal experts/advocates
34. Ask senior leadership to develop stronger outreach to local communities and support the strengthening of community-based complaint mechanisms	System-wide/agencies, funds and programmes/ DPKO/DFS
35. Request OHCHR to engage the leadership of regional organizations and work with the Secretary-General to propose additional ways to reduce the potential for sexual exploitation and abuse by non-United Nations forces	OHCHR
Improving strategic communications	
36. Organize a high-level meeting on sexual exploitation and abuse before the end of 2017	EOSG/OSC/DPI
37. Ask the Under-Secretary-General for Communications and Public Information to work closely with the victims' rights advocate in formulating effective outreach strategies	EOSG/OSC/DPI
38. Instruct the Department of Public Information to establish a system to release publicly, as a standard practice, facts about credible reports of sexual exploitation and abuse	DPI/DFS/CITO
39. Instruct the Department of Public Information to provide recommendations on how best to harness strategic communications to change the narrative on sexual exploitation and abuse and increase awareness-raising and education system-wide	DPI/system-wide
40. Instruct the Department of Public Information to provide innovative recommendations on the use of technology and social media to increase transparency and reporting on cases of sexual exploitation and abuse	DPI
41. Request the Chief Information Technology Officer, in coordination with the Department of Public Information, to develop proposals to help to mitigate the risk of online exploitation and abuse	DPI/CITO
42. Instruct the Department of Public Information to work with organizations that have specialized expertise on online sexual exploitation and abuse to intensify prevention efforts through outreach	DPI/OICT/OIOS
43. Instruct the Department of Public Information to launch a system-wide internal communications campaign on sexual exploitation and abuse	DPI/system-wide

Proposal	*Lead in consultation with relevant stakeholders*
Sustainment	
44. Request the Chef de Cabinet to resume monthly meetings of the High-level Steering Group on sexual exploitation and abuse	EOSG/OSC
45. Request the Office of the Special Coordinator to resume the work of the system-wide working group on sexual exploitation and abuse in support of the High-level Steering Group	EOSG/OSC
46. Instruct the Office of the Special Coordinator and the Chief Information Technology Officer to develop a capability to aggregate and analyse system-wide data associated with sexual exploitation and abuse, subject to funding	EOSG/OSC/CITO/system-wide
47. Report publicly and regularly on the status of proceedings and States' actions on cases	EOSG/OSC/DPI/system-wide
48. Identify and launch a systematic mechanism to share and publicize the Member States' best practices and lessons learned	DPI/DFS/DPKO/CITO
49. Foster and encourage Member States' capacity-building and learning, including facilitating troop- and police-contributing country cooperation on best practices	DFS/DPKO

Abbreviations: CITO, Chief Information Technology Officer; DFS, Department of Field Support; DM, Department of Management; DPA, Department of Political Affairs; DPI, Department of Public Information; DPKO, Department of Peacekeeping Operations; EOSG, Executive Office of the Secretary-General; OHCHR, Office of the United Nations High Commissioner for Human Rights; OICT, Office of Information and Communications Technology; OIOS, Office of Internal Oversight Services; OLA, Office of Legal Affairs; OSC, Office of the Special Coordinator on Improving the United Nations Response to Sexual Exploitation and Abuse; UNICEF, United Nations Children's Fund.

B. Compact between the Secretary-General and individual Member States

1. Proposals by the United Nations

(i) Identify and launch a systematic mechanism to share and publicize the Member States' best practices and lessons learned.

(ii) Foster and encourage capacity-building and learning on ways to combat sexual exploitation and abuse, including by facilitating bilateral cooperation on best practices.

(iii) Identify specific measures to improve the living and working conditions of persons and units, particularly those deployed in remote and austere locations.

(iv) Require individuals assigned to all United Nations field-based activities to carry the "no excuses" card that restates our rules and provides contact details for reporting allegations.

(v) Explore modalities to recognize excellence in leadership and in conduct and discipline.

(vi) Review and propose changes to the rules governing the award of the United Nations medal to strengthen pride in United Nations operations.

(vii) Integrate regional peacekeeping training centres more consistently into the predeployment phase of United Nations operations, and examine ways to use those centres to prepare future leaders in the field.

(viii) Improve outreach and create more active pipelines of professionals for potential service, particularly those from troop- and police-contributing countries.

(ix) Agree to report regularly on the implementation of its commitments.

2. Proposals by Member States

Prevention

(i) Aim to deploy only commanders with prior peacekeeping experience and require them to develop specific plans and programmes for the prevention of sexual exploitation and abuse while deployed.

(ii) Agree to policies and procedures, drawn from best practice, to ensure more effective oversight of company and smaller single-nation units deployed in remote mission areas, for example clear, enforceable boundaries between military compounds and local populations and supervised visits in groups during off-duty periods, drawing on Member State best practice and lessons learned.

Victims' assistance

(iii) Commit to full cooperation with the victims' rights advocate.

(iv) Appoint focal points in capitals to serve as a direct liaison for victims, to address potential paternity claims and to assist the United Nations to follow up on cases.

(v) Identify and take measures for the protection of victims and witnesses during investigations and judicial proceedings.

(vi) Consider and set in place protocols to ensure child- and victim-sensitive investigations and make provisions for the special status of children.

(vii) Ensure that all appropriate disciplinary and judicial decisions and remedies are enforced.

(viii) Agree to report regularly on the implementation of the compact.

Investigation

(ix) Commit to joint investigations with the United Nations or with independent, external experts so as to enhance transparency.

(x) Impose penalties on those who knowingly fail to report allegations.

(xi) Commit to implementing strong policies on whistle-blowing that encourage the reporting of cases of sexual exploitation and abuse and enforce appropriate protections for whistle-blowers.

(xii) Agree to in situ courts martial or permit their live-streaming to enable victims' access to criminal proceedings.

(xiii) Agree to obtain DNA, on a voluntary basis, from all deployed personnel for purposes of exoneration or conviction of individuals accused of sexual exploitation and abuse, where such evidence would be indispensable.

(xiv) Ensure that national investigative officers have the relevant expertise in investigating sexual exploitation and abuse to elevate the effectiveness of those officers in joint investigations, and, when possible, have the officers report directly to national prosecutors.

(xv) Suspend payments due to alleged perpetrators in the face of credible allegations, and agree to the implementation of procedures to withhold reimbursements in the event that investigations are not undertaken, reported on, or concluded in a timely manner.

(xvi) Implement procedures, in accordance with General Assembly resolution 70/286, to transfer withheld payments to the Trust Fund in substantiated cases.

(xvii) Undertake to provide monthly updates on all phases of investigations.

Accountability

(xviii) Agree to exercise or establish extraterritorial jurisdiction for crimes committed by civilian personnel when assigned to the United Nations or when operating under United Nations authority.

(xix) Agree to repatriate, at national or personal expense, personnel who do not demonstrate adherence to the prohibitions on sexual exploitation and abuse.

(xx) Commit to disciplining personnel who are repatriated in accordance with their national disciplinary procedures.

(xxi) Agree to hold leaders in the chain of command accountable, as appropriate, when they fail to establish appropriate conditions to prevent sexual exploitation and abuse, fail to report sexual exploitation and abuse, or fail to hold personnel in their chains of command appropriately accountable.

(xxii) Ensure that mechanisms are in place to ensure accountability even in situations where culpable individuals have left national service.

(xxiii) Agree to report regularly on the implementation of the compact.

C. Action by the General Assembly

(a) Take note of my renewed emphasis and actions to address the problem of sexual exploitation and abuse;

(b) Take note of steps to introduce victims' assistance support functions at Headquarters and in field locations, including through the victims' rights advocate functions, which will be reported in the next budget cycle of the respective entities;

(c) Endorse the revision of the provisions of the Trust Fund in Support of Victims of Sexual Exploitation and Abuse to allow additional assistance to victims, as might be appropriate and necessary;

(d) Endorse the establishment of procedures to withhold reimbursements in the event that investigations are not undertaken, reported on and concluded in a timely manner, and to pay the amounts withheld into the Trust Fund;

(e) Endorse the proposal for Member States to receive claims from victims and the related establishment of mechanisms to do so;

(f) Endorse, as appropriate under its authority, a Secretary-General's special protocol on preventing sexual exploitation and abuse for the establishment or renewal of any operation where heightened risks exist, as part of the mandates and budgets that are subject to its approval;

(g) Endorse the establishment of a system-wide confidential repository of case information to be centralized under the supervision of the Office of the Special Coordinator;

(h) Consider proposals to strengthen investigative capacity in sexual exploitation and abuse cases for the Secretariat and its separately administered funds and programmes, as well as across the wider United Nations system;

(i) Endorse the principles set forth above for inclusion in the voluntary compact with Member States for consideration at the high-level meeting;

(j) Endorse the extension of the mandate of the Special Coordinator on Improving the United Nations Response to Sexual Exploitation and Abuse to improve United Nations response to sexual exploitation and abuse and support the strengthening of that office;

(k) Take note of the estimated resource requirements and the funding arrangements as set out in the addendum to the present report (A/71/818/Add.1).

Annex II

Best practices of Member States on prevention of and response to sexual exploitation and abuse

Member State	*Issues related to addressing sexual exploitation and abuse*	*Best practice by Member State*
Actions taken to prevent sexual exploitation and abuse and predeployment actions		
Bangladesh	Rapid investigation and accountability through imposition of sanction	The Member State investigated and substantiated an allegation in just over three months. A court martial was conducted and the contingent member was dismissed from service and received a sanction of one year's imprisonment
Bangladesh	Made an occurrence of sexual exploitation and abuse into a training case study	The Member State indicated that the facts of a sexual exploitation and abuse case (see above entry) would be incorporated as a case study into its predeployment training syllabus on sexual exploitation and abuse, creating a virtuous cycle
South Africa	Vetting of uniformed personnel	The Member State established a vetting committee to ensure that required vetting is carried out for previous convictions or current proceedings for criminal offences or violations of international human rights or humanitarian law, as well as for previous repatriation on disciplinary grounds or prohibition from further participation in United Nations peacekeeping operations
South Africa	Curfew violations (unrelated to allegations of sexual exploitation and abuse)	In late 2015, 50 members of the military contingent serving in MONUSCO were repatriated for curfew violations The Secretariat notes that curfew violations are frequently seen in conjunction with incidents of sexual exploitation and abuse; this proactive step therefore has an important impact on combating sexual exploitation and abuse
Actions taken in connection with specific allegations of sexual exploitation and abuse		
Bangladesh	Judicial process and sanction applied in case of allegation of sexual activity with a minor	The Member State investigated and substantiated an allegation in just over three months. A court martial was conducted, and the contingent member was dismissed from service and received a sanction of one year's imprisonment The Member State indicated that the facts of the case would be incorporated as a case study into its predeployment training syllabus on sexual exploitation and abuse, creating a virtuous cycle
Egypt	Rapid investigation and accountability through imposition of sanction	An allegation of sexual exploitation and abuse in MINUSCA was investigated in 29 days; upon substantiation, a court martial was conducted and a sanction of five years' imprisonment imposed on the contingent member
South Africa	Judicial process close to the location of victims	On-site court martial proceedings were conducted in the Democratic Republic of the Congo in relation to three allegations of sexual exploitation and abuse recorded in MONUSCO. The Member State cooperated closely with the Mission and the host State authorities in organizing the proceedings
South Africa	Curfew violations (unrelated to allegations of sexual exploitation and abuse)	In late 2015, 50 members of the military contingent serving in MONUSCO were repatriated for curfew violations The Secretariat notes that curfew violations are frequently seen in conjunction with incidents of sexual exploitation and abuse; this proactive step therefore has an important impact on combating sexual exploitation and abuse

Member State	*Issues related to addressing sexual exploitation and abuse*	*Best practice by Member State*
Actions taken to strengthen investigations		
Burundi	Appointment of a national investigations officer to investigate allegations of sexual exploitation and abuse	The Member State cooperated with the Secretariat following its request to appoint a national investigations officer within five days of notification of incidents of sexual exploitation and abuse in MINUSCA, rather than the 10-day time period normally required under the model memorandum of understanding between troop-contributing countries and the United Nations
	Joint investigations with OIOS	The Member State indicated that it would cooperate with OIOS in carrying out the investigation
Congo	Quick appointment of a national investigations officer to investigate allegations of sexual exploitation and abuse	The Member State cooperated with the Secretariat following its request to appoint a national investigations officer within five days of notification of incidents of sexual exploitation and abuse in MINUSCA, rather than the 10-day time period normally required under the model memorandum of understanding between troop-contributing countries and the United Nations
Egypt	Quick appointment of a national investigations officer to investigate allegations of sexual exploitation and abuse	The Member State cooperated with the Secretariat following its request to appoint a national investigations officer within five days of notification of incidents of sexual exploitation and abuse in MINUSCA, rather than the 10-day time period normally required under the model memorandum of understanding between troop-contributing countries and the United Nations
Gabon	Quick appointment of a national investigations officer to investigate allegations of sexual exploitation and abuse	The Member State cooperated with the Secretariat following its request to appoint a national investigations officer within five days of notification of an incident of sexual exploitation and abuse in MINUSCA, rather than the 10-day time period normally required under the model memorandum of understanding between troop-contributing countries and the United Nations
	Joint investigations with OIOS	The Member State indicated that it would cooperate with OIOS in carrying out the investigation
Ghana	Quick appointment of a national investigations officer to investigate allegations of sexual exploitation and abuse	The Member State cooperated with the Secretariat following its request to appoint a national investigations officer within five days of notification of incidents of sexual exploitation and abuse, rather than the 10-day time period normally required under the model memorandum of understanding between troop-contributing countries and the United Nations
Morocco	Predesignation of national investigations officers at the time of deployment of contingent	The Member State is predesignating national investigations officers at the time of deployment of contingents
	Joint investigations with OIOS	The Member State indicated that it would cooperate with OIOS in carrying out the investigation
South Africa	Establishment of a standby team of national investigations officers	The Member State established a standby, three-person team of national investigations officers, with the capacity to deploy to a peacekeeping mission within 72 hours
Togo	Quick appointment of a national investigations officer to investigate allegations of sexual exploitation and abuse	The Member State cooperated with the Secretariat following its request to appoint a national investigations officer within five days of notification of incidents of sexual exploitation and abuse in MINUSCA, rather than the 10-day time period normally required under the model memorandum of understanding between troop-contributing countries and the United Nations The Member State concluded its investigation of an exploitative relationship of three individuals within 31 days. The allegations were substantiated against one individual, who received a two-month prison sentence. In the case of one other individual, while there was no finding of sexual exploitation and abuse, there was a finding that national

Member State	*Issues related to addressing sexual exploitation and abuse*	*Best practice by Member State*
		regulations had been violated, and a two-month prison sentence was imposed
United Republic of Tanzania	Quick appointment of a national investigations officer to investigate allegations of sexual exploitation and abuse	The Member State cooperated with the Secretariat following its request to appoint a national investigations officer within five days of notification of incidents of sexual exploitation and abuse in MONUSCO, rather than the 10-day time period normally required under the model memorandum of understanding between troop-contributing countries and the United Nations
	Use of DNA samples as part of the investigation	The Member State proactively collected and tested DNA samples of numerous contingent members as part of its national investigation
Uruguay	Quick appointment of a national investigations officer to investigate allegations of sexual exploitation and abuse	The Member State cooperated with the Secretariat following its request to appoint a national investigations officer within five days of notification of incidents of sexual exploitation and abuse in MONUSCO, rather than the 10-day time period normally required under the model memorandum of understanding between troop-contributing countries and the United Nations
Actions in connection with paternity and child support[a]		
Algeria	Use of DNA testing	The Member State informed the Secretariat that DNA testing had been used in connection with a paternity and/or child support claim
Argentina	Use of DNA testing	The Member State informed the Secretariat that DNA testing had been used in connection with a paternity and/or child support claim
Benin	Appointment of a national focal point	The Member State informed the Secretariat that it had appointed a focal point to handle future paternity claims related to sexual exploitation and abuse
	Use of DNA testing	The Member State informed the Secretariat that DNA testing had been used in connection with a paternity and/or child support claim
Canada	Appointment of a national focal point	The Member State informed the Secretariat of the designation of a national focal point in paternity and child support cases resulting from sexual exploitation and abuse
Ecuador	Appointment of a national focal point	In one case, the Member State facilitated contact between the claimant and the Ecuadorian judicial system, in the context of a claim for child support. The Government worked with the Organization to exchange documents and information needed for official recognition of paternity under Ecuadorian law. Paternity was recognized and the child was granted a birth certificate and the rights afforded to a citizen
	Assistance in achieving recognition of paternity, issuance of birth certificate and payment of child support	The Member State indicated that it would monitor the court-ordered child support payments to ensure their continuity; the United Nations will maintain contact with the mother to provide facilitation should there be any issue with remittance
Guatemala	Agreement to assist with DNA collection	The Member State confirmed to the Secretariat that the contingent member would give DNA samples in connection with a paternity and/or child support claim once the contingent member had been located
India	Appointment of a national focal point	The Member State informed the Secretariat that it had appointed a focal point to handle future paternity claims related to sexual exploitation and abuse. In addition, the Member State designated the Ministry of Women and Child Development to give assistance in paternity cases and shared with the Secretariat the applicable legal framework governing paternity claims
	Use of DNA testing	The Member State informed the Secretariat that DNA testing had been used in connection with a paternity and/or child support claim
Malawi	Use of DNA testing	The Member State informed the Secretariat that DNA testing had been used in connection with a paternity and/or child support claim

Member State	*Issues related to addressing sexual exploitation and abuse*	*Best practice by Member State*
Senegal	Use of DNA testing	The Member State informed the Secretariat that DNA testing had been used in connection with a paternity and/or child support claim
Sri Lanka	Payment by Government to assist the child	The Member State made a one-time ex gratia payment to a victim of sexual exploitation and abuse and her child in a case in which the alleged father was no longer traceable
United Republic of Tanzania	Use of DNA testing	The Member State informed the Secretariat of the specific national legislation that permits DNA testing
Uruguay	Appointment of a national focal point and issuance of a protocol on paternity focal points	The Member State informed the Secretariat that it had institutionalized the role of a focal point to handle paternity claims related to sexual exploitation and abuse. It is noted that Uruguay was the first Member State to appoint a sexual exploitation and abuse focal point and has been proactive in developing that function, including by issuing a protocol on the role of paternity focal points
	Use of DNA testing	The Member State informed the Secretariat that DNA testing had been used in connection with a paternity and/or child support claim
Other best practices		
South Africa	Recognition of sexual exploitation and abuse in national legislation	The Member State informed the Secretariat that a defence bill, which would be tabled before the Parliament of South Africa for approval during the 2016/17 sitting, would provide that sexual exploitation and abuse is a specific offence with commensurate sentencing. Once passed, the bill would be enacted as national legislation
Vanuatu	Considering recognition of sexual exploitation and abuse in national legislation	The Member State advised the Secretariat that it is considering taking steps to ensure that its national legislation recognizes that sexual exploitation and abuse, while in service with the United Nations, is a violation of the law

Abbreviations: MINUSCA, United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic; MONUSCO, United Nations Organization Stabilization Mission in the Democratic Republic of the Congo; OIOS, Office of Internal Oversight Services.

[a] It is recalled that the Secretary-General requested that Member States appoint an appropriate focal point within their national legal system to receive and advise on paternity and child support claims from nationals of countries in which their citizens served with the United Nations (see A/69/779).

Annex III

Prior system-wide initiatives and proposals on addressing sexual exploitation and abuse

Pursuant to General Assembly resolutions 69/307 and 70/286, Security Council resolution 2272 (2016), reports of the Secretary-General (A/69/779, A/70/729 and A/71/97) and report of the Secretary-General entitled "The future of United Nations peace operations: implementation of the recommendations of the High-level Independent Panel on Peace Operations" (A/70/357-S/2015/682), as well as additional initiatives

Initiatives and proposals	*Status*	*Lead*	*Impact*
Prevention			
1. E-learning programme to target all categories and levels of personnel (A/69/779, resolution 69/307, A/70/729, resolution 70/286 and A/70/357-S/2015/682)	Completed (September 2016)	DFS	All personnel will have received dedicated and consistent training on sexual exploitation and abuse
2. Misconduct Tracking System vetting for misconduct in United Nations peacekeeping expanded to all categories of personnel (A/69/779, A/70/729 and A/70/357-S/2015/682)	Completed	DFS	All categories of personnel have been vetted against a previous history of misconduct in peace operations
3. Troop- and police-contributing countries certify their personnel have no prior misconduct in peacekeeping; if incorrect, repatriation at Member State's expense (A/70/729)	Completed	DFS	Member States take on greater accountability in ensuring that they are providing personnel consistent with agreed-upon standards. The initiative further strengthens the vetting of personnel serving in peace operations
4. Expansion of troop- and police-contributing countries certifying their personnel have received predeployment training support; updated core predeployment training materials (A/69/779, A/70/729 and A/70/357-S/2015/682)	Implementation ongoing	DFS	Member States are supported in their delivery of predeployment training by having strengthened materials
5. "No excuses" card for all field personnel (initiative of the Secretary-General)	Completed. To be rolled out in first quarter of 2017	EOSG/OSC	Personnel will have no excuse for not knowing the rules prohibiting sexual exploitation and abuse
6. System-wide inventory of sexual exploitation and abuse policies (A/71/97)	Completed	DFS, OHCHR and EOSG/OSC	Searchable and accessible online location system for United Nations system-wide policies
7. Accountability matrix (prevention and response) on roles and responsibilities of entities by category of personnel (initiative of the Secretary-General) (see annex V)	Completed	EOSG/OSC	Clarifies the roles and responsibilities of all United Nations actors in prevention and response
8. Analyse system-wide gaps in policies related to sexual exploitation and abuse (A/71/97)	Ongoing	EOSG/OSC	Address policy gaps

Initiatives and proposals	*Status*	*Lead*	*Impact*
9. Development of an electronic tool for screening United Nations staff dismissed as a result of a substantiated allegation of sexual exploitation and abuse or who resigned or were dismissed during an investigation of sexual exploitation and abuse (A/69/779, A/70/729 and A/71/97)	Ongoing. Under development	DM, DFS and EOSG/OSC	Prevent the rehiring of staff with substantiated allegations of sexual exploitation and abuse
10. Comprehensive manual on sexual exploitation and abuse (A/71/97)	Under development	EOSG/OSC	Provide practical guidance and clarity on prevention of, and response to allegations of, sexual exploitation and abuse
11. Secretary-General to consider revisions to ST/SGB/2003/13 (A/69/779)	To be initiated	DM	Will serve as an important reflection of any significant changes over time to the Organization's policy on protection from sexual exploitation
12. E-learning programme developed with UNICEF, UNHCR, UNFPA and UN-Women on the basis of DFS programme (prevention of sexual exploitation and abuse communications plan)	Ongoing	UNDP, UNICEF, UNHCR, UNFPA and UN-Women	All personnel will have received dedicated and consistent training on sexual exploitation and abuse
13. Proposal drafted for dedicated support function in Office of the Resident Coordinator	Consultations ongoing	UNDP	Ensure accountable oversight
14. UNDP investigators received training on forensic interviewing of children	Completed	UNDP	UNDP investigators improved their knowledge and skills regarding the forensic structure for these types of interviews, forensic questioning and the impact of development, memory, trauma and culture
15. Repository of national laws of Member States deployed to peacekeeping operations and special political missions (A/71/97)	Completed	EOSG/OSC	Reference database of national legislation on prevention of sexual exploitation and abuse to further enhance awareness and transparency
16. Existing risk assessment framework to be applied to identify missions considered to be at increased risk of sexual exploitation and abuse (A/70/729)	Completed. Guidance was issued to peacekeeping missions, including factors that would require heightened mitigation measures	DFS	Allows for peace operations to have better tools to identify risk factors that can lead to sexual exploitation and abuse and take preventive measures
Protection measures and victim assistance			
17. Establishment and capacity-building of immediate response teams (A/69/779, A/70/729 and A/70/357-S/2015/682)	Completed	DFS	Peacekeeping missions are better equipped to respond quickly to reports of sexual exploitation and abuse; investigations are strengthened through gathering and preservation of evidence in the immediate aftermath of reports of sexual exploitation and abuse
18. Peacekeeping operations and special political missions established standing sexual exploitation and abuse task force (A/69/779, A/70/729 and A/70/357-S/2015/682)	Completed	DFS	Improves integration in addressing sexual exploitation and abuse across peace operations

Initiatives and proposals	*Status*	*Lead*	*Impact*
19. Development and implementation of a model complaint reception mechanism (A/69/779, resolution 69/307 and A/70/357-S/2015/682)	Completed	DFS	Complainants and victims are aware of confidential pathways to bring reports of sexual exploitation and abuse to the attention of the United Nations. The United Nations learns of reports of sexual exploitation and abuse and has the ability to react to support victims and promote accountability
20. Where sexual exploitation and abuse is substantiated, suspended or outstanding payments related to individuals will not be paid from the notification of the incidents (A/69/779 and General Assembly resolutions 65/289 and 66/264)	Under implementation	DFS	Sends a strong message to personnel that individual accountability will be enforced in cases of alleged sexual exploitation and abuse
21. The Secretary-General may repatriate a contingent or formed police unit commander without the possibility of further service where there is a documented pattern of sexual exploitation and abuse within the contingent (Security Council resolution 2272 (2016))	Under implementation. The Secretariat developed operational guidance pursuant to Security Council resolution 2272 (2016)	DFS	Demonstrates the seriousness of the Organization's expectations of senior commanders; enhances individual accountability and command and control
22. Trust Fund in Support of Victims of Sexual Exploitation and Abuse created; terms of reference developed (A/69/779, A/70/729, General Assembly resolution 70/286 and A/70/357-S/2015/682)	Completed. Fundraising ongoing; use of funds under planning	DFS	The shortcomings of the (unfunded) comprehensive victim assistance strategy are addressed by supporting the provision of services to victims of sexual exploitation and abuse
23. Agreement sought for Member States to transfer payments withheld for substantiated sexual exploitation and abuse by United Nations personnel to Trust Fund in Support of Victims of Sexual Exploitation and Abuse (A/69/779 and A/70/729)	Approved (General Assembly resolution 70/286) and under implementation	DFS	Further enhances accountability at the individual level and serves as an important symbolic act of addressing harm done to victims
24. Troop- and police-contributing countries are requested to appoint paternity focal points (A/69/779 and A/70/729)	Ongoing. Some Member States have appointed paternity focal points; the Secretariat is following up with others	DFS	Significantly supports individual victims and children born as a result of sexual exploitation and abuse in navigating paternity and child support proceedings in Member States of personnel found to have committed sexual exploitation and abuse
25. DNA sample collection protocol developed; missions provided with kits and guidance (A/69/779 and A/70/729)	Completed and ongoing	DFS	Enables victims to advance paternity claims related to sexual exploitation and abuse
26. Member States asked to agree to obtain DNA samples of uniformed personnel alleged to have committed sexual exploitation and abuse (A/70/729)	Ongoing. Some Member States have provided samples	DFS	Will strengthen criminal accountability, as well as paternity and child support claims
27. Streamlining the terminology used to report sexual exploitation and abuse allegations system-wide (A/71/97)	Under implementation	DM and EOSG/OSC	Aligning terminology is critical for data collection, monitoring and analysis

Initiatives and proposals	*Status*	*Lead*	*Impact*
28. Monthly reporting of cases of sexual exploitation and abuse by entities other than peacekeeping and special political missions (A/71/97)	Completed and ongoing	DM	Monitoring and overview of the situation in entities other than peacekeeping and special political missions
29. Development of a uniform protocol on victim assistance to provide emergency medical and other appropriate assistance to victims (A/71/97)	Completed; to be piloted in early 2017	UNICEF, DFS, and Office of the Special Representative of the Secretary-General for Children and Armed Conflict	Strengthened coordination of assistance to victims and clarification of the inter-agency governance structure at field level on prevention of sexual exploitation and abuse
30. Secretariat explores how technology solutions can support risk assessment and mitigation (A/70/729)	Ongoing	DFS	May allow for the use of innovative tools, for example, through the gathering of intelligence, to enhance risk management
31. Secretary-General is developing guidance on referring possible criminal conduct to Headquarters and judicial authorities (host State or State of nationality) (A/69/779, A/70/729 and A/70/357-S/2015/682)	Ongoing. Draft guidance prepared, to be issued in 2017	DFS	Will enhance clarity within peace operations of how and when to trigger criminal accountability
32. Staff Rules amended to state that accumulated annual leave, normally payable at separation, not be paid if staff is dismissed for sexual exploitation and abuse (A/69/779 and A/70/729)	Approved and under implementation	DM	Further enhances individual accountability; ensures that treatment among categories of personnel is substantively consistent
33. Develop proposal for capacity to support resident coordinator on sexual exploitation and abuse prevention (A/69/779 and A/70/729)	Ongoing. Proposal shared with the High-level Committee on Management (October 2016); under review by UNDP for endorsement by the United Nations Development Group	DFS	Would better allow for the Resident Coordinator to have dedicated resources to advance the system-wide measures to support and assist victims
34. Development and piloting of a uniform incident reporting form (A/71/97)	Ongoing	EOSG/OSC	Accelerate aid to victims, regularize the initiation of appropriate administrative and criminal investigations and provide empirical data for more in-depth analysis of events to aid understanding of patterns of misconduct in order to devise more effective preventive measures

Initiatives and proposals	*Status*	*Lead*	*Impact*
35. Secretary-General urges Member States to conclude the discussion on the adoption of an international [criminal] convention, which may include amending national legislation to permit extraterritorial jurisdiction (A/69/779, A/70/729 and A/70/357-S/2015/682)	Ongoing	OLA	If adopted, would be an important vehicle to address impunity and create a pathway to criminal accountability
36. Member States requested to assess national legislation to determine applicability to sex crimes committed by nationals in service of United Nations peace operations and assess whether legislative action is required, including allowing nationality-based extraterritorial jurisdiction (A/69/779 and A/70/729)	Remains under consideration by Member States	OLA	If adopted, would be an important vehicle, to address impunity and create a pathway to criminal accountability
37. Member States urged to receive claims from victims and establish mechanisms for doing so (A/70/729)	Recommended by the Secretary-General; requires further engagement with Member States	DFS	Victims would have the means to seek from Member States financial compensation for harm suffered as a result of sexual exploitation and abuse
38. Secretary-General to enhance coordination of efforts in protection from sexual exploitation and abuse through greater information-sharing (A/70/729 and A/71/97)	Completed	DFS	Ensures that key stakeholders have relevant information to allow for early and effective action in reported cases of sexual exploitation and abuse
39. Secretary-General will develop a Secretariat-wide sexual exploitation and abuse communications strategy (A/69/779 and A/70/729)	Under implementation	DPI	May enhance transparency and encourage internal and external understanding of how the Organization is working to implement the zero-tolerance policy; can break down myths and invite new ideas
40. Misconduct, including sexual exploitation and abuse, to be added to list of items of which the Security Council is seized (A/70/357-S/2015/682 and Security Council resolution 2242 (2015))	Approved and ongoing. Proposal adopted by the Security Council in resolution 2242 (2015)	DFS	Will raise visibility of sexual exploitation and abuse to the Security Council and allow for greater dialogue, transparency and action, where needed
41. Regular communication from leadership to peacekeeping personnel on prevention and protection from sexual exploitation and abuse	Under implementation	DFS	Demonstrates leadership accountability and reinforces expectations of personnel to respect United Nations standards of conduct and embody its values
42. Development of a common glossary of terms (EOSG/OSC initiative)	Completed	SRSG/SVC, OHRM, DFS, OLA and EOSG/OSC	Aligning terminology is critical for data collection, monitoring and analysis
43. Harmonization of reporting categories (initiative of the Secretary-General)	Completed	DM/OHRM	Unified reporting of allegations of sexual exploitation and abuse across the United Nations system

Initiatives and proposals	*Status*	*Lead*	*Impact*
Response:			
(a) Investigations			
44. Secretary-General requested Member States to embed national investigations officers within contingents (A/69/779, A/70/729 and A/70/357-S/2015/682)	Completed	DFS	Investigations are expedited by cutting delays inherent in the appointment and deployment of national investigations officers to peacekeeping missions
45. Secretary-General requested that troop-contributing countries appoint a national investigations officer within 5 days rather than the 10 days required under the model memorandum of understanding (A/70/729)	Under implementation	DFS	Investigations are expedited by cutting delays inherent in the appointment and deployment of national investigations officers to peacekeeping missions
46. Member States requested to adopt a six-month timeline, as done by United Nations investigative entities in 2015. If urgent, time frame would be shortened to three months (A/69/779, A/70/729 and A/70/357-S/2015/682)	Under implementation	DFS	Investigations are expedited, which encourages timely accountability
47. OIOS will develop uniform standards of investigation (A/70/729)	Under development	OIOS	Will articulate a framework for the conduct of investigations that will ensure consistency in investigations
48. Member States requested to establish on-site court-martial proceedings when allegations amount to sex crimes under national law (A/69/779, A/70/729, A/70/357-S/2015/682 and Security Council resolution 2272 (2016)	Completed and ongoing	DFS	On-site court-martial proceedings provide greater transparency and allow victims and communities to see accountability processes at work
(b) Accountability			
49. Where sexual exploitation and abuse is substantiated, suspended or outstanding payments related to individuals will not be paid from date of incident (A/70/729 and A/70/357-S/2015/682)	Under implementation	DFS	Sends a strong message to personnel that individual accountability will be enforced in cases of alleged sexual exploitation and abuse
50. Secretary-General may repatriate a contingent or formed police unit commander without the possibility of further service where there is a documented pattern of sexual exploitation and abuse within the contingent (A/69/779 and Security Council resolution 2272 (2016))	Under implementation	DFS	Demonstrates the seriousness of the Organization's expectations of senior commanders; enhances individual accountability and command and control
51. Secretary-General to: (a) withhold service medals from units while misconduct under investigation; (b) consider repatriating the entire contingent or formed police unit where there is prima facie evidence of widespread or systemic violations by its members; (c) consider the individual under investigation for sexual exploitation and abuse as ineligible for premium for risk (A/68/813); (d) consider documented pattern of	Under implementation policy (a), relating to the issuance of service medals, has been amended accordingly; (b)-(c) under implementation by the Secretary-General in appropriate cases. It is noted that the factors raised under	DFS	Reinforces the accountability of troop- and police-contributing countries; allows the Organization to mediate operational risks

Initiatives and proposals	*Status*	*Lead*	*Impact*
non-compliance by a Member State with regard to United Nations standards of conduct in determination of eligibility for a premium for enabling capacities; and (e) terminate deployment of uniformed personnel if there is a documented pattern of non-compliance with United Nations standards of conduct (A/69/779)	(b)-(e) are reflected in Security Council resolution 2272 (2016) and the operational guidance		
52. Secretary-General to provide country-specific information on allegations of sexual exploitation and abuse (A/67/766, A/68/756, A/69/779, A/70/729 and A/70/357-S/2015/682)	Completed and ongoing	DFS	Enhances transparency and enables Member States and the Organization to demonstrate their efforts to ensure accountability
53. Secretary-General to enhance expectations of reporting by Member States in relation to reports of sexual exploitation and abuse involving their personnel (A/69/779 and A/70/729)	Completed. Reporting template issued to Member States (October 2016) with information requested for progress reports, including (a) identification of applicable legal framework in the national jurisdiction; (b) procedure(s) applied; and (c) decision and reasoning of the adjudicator	DFS	Provides a specific tool to ensure that troop- and police-contributing countries are aware of what information the Secretariat expects in reporting on progress and actions taken in relation to sexual exploitation and abuse; allows for better and more complete information to be gathered
54. Secretary-General to take accountability measures against Member States (Security Council resolution 2272 (2016))	Planning and implementation under way	EOSG	Will support the capacity of the Secretary-General to hold troop- and police-contributing countries accountable and enable the Organization to ensure that troops and police who are deployed are fit to serve
55. Development of a policy on balancing confidentiality and accountability (see A/71/99)	Under development	OLA	

Abbreviations: DFS, Department of Field Support; DM, Department of Management; DPI, Department of Public Information; EOSG, Executive Office of the Secretary-General; OLA, Office of Legal Affairs; OHCHR, Office of the United Nations High Commissioner for Human Rights; OHRM, Office of Human Resources Management; OIOS, Office of Internal Oversight Services; OSC, Office of the Special Coordinator on Improving the United Nations Response to Sexual Exploitation and Abuse; SRSG/SVC, Special Representative of the Secretary-General on Sexual Violence in Conflict; UNDP, United Nations Development Programme; UNICEF, United Nations Children's Fund; UNFPA, United Nations Population Fund; UNHCR, Office of the United Nations High Commissioner for Refugees; UN-Women, United Nations Entity for Gender Equality and the Empowerment of Women.

Annex IV

Data

Note of explanation on terminology used to reflect the status of allegations

Aligning terminology is critical for data collection, monitoring, analysis and ultimately for effective prevention and accountability.

In 2016, the working group on sexual exploitation and abuse compiled a United Nations glossary on sexual exploitation and abuse, with the aim of providing conceptual clarity and a common understanding of key terms used by different United Nations entities on this topic.

As reflected in annexes I and III of the previous reports of the Secretary-General on special measures for protection from sexual exploitation and sexual abuse (see for example, A/69/779 and A/70/729), peacekeeping and special political missions reported separately from entities other than peacekeeping and special political missions. They also had differing terminology to describe the nature of the allegations, as follows:

Allegations involving personnel in United Nations peacekeeping and special political missions

- Exploitative relationship
- Transactional sex
- Sexual activity with minor
- Sexual assault*

* In this list sexual assault includes acts of rape

Allegations by entities other than peacekeeping and special political missions

- Rape — victim under 18
- Rape — victim over 18
- Sex with a minor
- Sexual assault — victim under 18
- Sexual assault — victim over 18
- Trafficking in persons for sexual exploitation
- Exchange of money, employment, goods or services for sex
- Solicitation of a prostitute — victim under 18
- Solicitation of a prostitute — victim over 18
- Other forms of sexual exploitation and abuse

In an effort to provide more clarity on the nature of the acts reported, the present report distinguishes allegations of rape from those related to sexual assault in the "Nature of allegation" column. In addition, the term "child" is used in lieu of "minor" in accordance with the definition provided by the Convention on the Rights of the Child (any individual under the age of 18).

Pursuant to General Assembly resolution 70/286, the report also includes data on allegations involving non-United Nations international forces operating under a Security Council mandate. In accordance with international law, these acts are categorized under the rubrics of "rape", "other forms of sexual violence", and "other forms of sexual violence against children".

Also as requested in General Assembly resolution 70/286, annex IV includes, in addition to allegations concerning personnel in peacekeeping and special political missions, allegations involving other United Nations civilian personnel, and non-United Nations international forces operating under a Security Council mandate.

A. Nature of allegations reported for peacekeeping operations and special political missions, for entities other than peacekeeping and special political missions and for non-United Nations forces, in 2016

Nature of allegation	*United Nations Development Programme*	*Office of the United Nations High Commissioner for Refugees*[a]	*United Nations Children's Fund*	*United Nations Office for Project Services*[b]	*United Na. as Population Fund*	*United Nations Relief and Works Agency for Palestine Refugees in the Near East*	*World Food Programme*	*Peacekeeping operations' special political missions*	*Non-United Nations forces under a Security Council mandate*	*Total*
Adult										
Rape	1	1	–	–	–	–	–	6	1	**9**
Sexual assault	–	2	–	–	–	3	–	6	–	**11**
Other forms of sexual violence[c]	–	–	–	–	–	–	–	–	1	**1**
Transactional sex	1	8	–	1	1	–	–	27	–	**38**
Solicitation of transactional sex	–	1	–	–	–	1	–	3	–	**5**
Exploitative relationship	–	7	–	–	–	1	–	14	–	**22**
Trafficking for sexual exploitation and abuse	–	–	–	–	–	–	–	–	–	–
Other	–	1	–	–	–	–	–	–	3	**4**
Child										
Rape	–	4	–	–	–	–	1	43	12	**62**
Sexual assault										
Solicitation of child prostitution	–	1	–	–	–	2	–	2	–	**3**
Trafficking for sexual exploitation and abuse	–	–	–	–	–	–	–	–	–	**1**
Other forms of sexual violence against children[c]	–	–	–	–	–	–	–	–	3	**3**
Other	–	1	3	–	–	1	–	2		**7**
Total	**2**	**26**	**3**	**1**	**1**	**8**	**1**	**103**	**20**	**165**

[a] The age of two of the victims of "transactional sex" and of three victims of "exploitative relationship" was not available at the time of preparing the present report. In the event that it is determined that the victims are children, the nature of allegation should be changed to "Child — rape". One of the victims under "solicitation of transactional sex" would be "solicitation of child prostitution" if it is confirmed that the victim is a child. One of the victims under "Adult — sexual assault" would be "Child — sexual assault" if it is confirmed that the victim is a child.

[b] The age of the victim was not available at the time of preparing the present report. In the event that the victim is a child, the nature of allegation should be changed to "Child — rape".

[c] Category relates only to non-United Nations forces.

B. Status of investigations related to allegations reported for peacekeeping operations and special political missions, for entities other than peacekeeping and special political missions and for non-United Nations forces, in 2016

Entity	*Allegations received*	*Status of investigation as at 31 December 2016*		
		Unsubstantiated or closed	*Substantiated or report under review*	*Investigation continuing*
United Nations Development Programme	2	1	–	1
Office of the United Nations High Commissioner for Refugees	26	13	–	13
United Nations Children's Fund	3	3	–	–
United Nations Office for Project Services	1	–	–	1
United Nations Population Fund	1	1	–	–
United Nations Relief and Works Agency for Palestine Refugees in the Near East	8	4	2	2
World Food Programme	1	–	–	1
Peacekeeping operations/special political missions	103	26	31	46
Non-United Nations forces under a Security Council mandate	–	–	–	–
Total	**145**	**48**	**33**	**64**

C. Allegations reported to the Office of Internal Oversight Services for peacekeeping operations and special political missions, allegations reported to the Office of Human Resources Management by entities other than peacekeeping and special political missions, and allegations reported to the Office of the United Nations High Commissioner for Human Rights, in 2016

1. Allegations reported to the Office of Internal Oversight Services in 2016 involving civilian personnel in peacekeeping and special political missions, by field mission (as at 31 December 2016)

Nationality of personnel involved	*Category of personnel and number of subjects*	*Age and number of victims*	*Allegation*	*Allegation reported (description)*	*Investigation/ status*	*Duration of investigation (days)[a]*	*Results/outcome*	*Findings*	*Paternity established*	*Interim action*	*Final action*	*Details of action by the United Nations*	*Referral for criminal prosecution*
MINURSO													
N/A	Civilian	Adult	SE	Transactional sex	For information[b]	N/A	N/A	N/A	N/A	N/A	Closed	N/A	N/A
MINUSCA													
N/A	Civilian staff (1)	Adult (1)	SA	Rape	Mission	25	Substantiated (1)	Transactional sex (1)	N/A	Administrative leave without pay (1)	United Nations pending (1)	Pending	Pending (1)
	United Nations Volunteer (1)		SE	Other			Unsubstantiated (1)	No evidence (1)		Suspension (1)	Closed (1)		
N/A	Civilian (1)	Adult (1)	SE	Transactional sex	OIOS	Pending	Pending	Pending	N/A	Pending	United Nations pending	Pending	N/A
N/A	Contractor (1)	Adult (1)	SE	Transactional sex	For information[b]	N/A	N/A	N/A	N/A	N/A	Closed	N/A	N/A
MONUSCO													
N/A	Civilian staff (1)	Adult (1)	SE	Exploitative relationship	Mission	140	Unsubstantiated	Non-exploitative relationship	N/A	None	Closed	N/A	N/A
N/A	United Nations Volunteer (1)	Adult	SE	Transactional sex	For information[b]	N/A	N/A	N/A	N/A	N/A	Closed	N/A	N/A
N/A	Civilian staff (1)	Child (2)	SA	Rape	OIOS	Pending	Pending	Pending	N/A	Pending	United Nations pending	Pending	Pending
	Civilian national staff (1)			Other									
N/A	Civilian staff (1)	Adult (4)	SE	Transactional sex	Mission	Pending	Pending	Pending	N/A	Pending	United Nations pending	Pending	N/A

Nationality of personnel involved	*Category of personnel and number of subjects*	*Age and number of victims*	*Allegation*	*Allegation reported (description)*	*Investigation/ status*	*Duration of investigation (days)*[a]	*Results/outcome*	*Findings*	*Paternity established*	*Interim action*	*Final action*	*Details of action by the United Nations*	*Referral for criminal prosecution*
N/A	United Nations Volunteer (1)	Child (1)	SA	Rape (paternity)	OIOS	Pending	Pending	Pending	Pending	Pending	United Nations pending	Pending	Pending
UNAMA													
N/A	Civilian staff (1)	Adult	SA	Sexual assault	For information[b]	N/A	N/A	N/A	N/A	N/A	Closed	N/A	N/A
UNIOGBIS													
N/A	Civilian national staff (1)	Child (1)	SA	Rape	OIOS	Pending	Pending	Pending	N/A	Pending	United Nations pending	Pending	Pending
UNISFA													
N/A	United Nations Volunteer (1)	Adult (1)	SE	Exploitative relationship (paternity)	Mission	149	Pending[c]	Pending	Pending	Pending	United Nations pending	Pending	N/A
N/A	Civilian national staff (1)	Adult	SE	Transactional sex	Mission	70	Unsubstantiated	No evidence	N/A	None	Closed	N/A	N/A
N/A	Civilian staff (1)	Adult (1)	SE	Exploitative relationship	OIOS	Pending	Pending	Pending	N/A	Pending	United Nations pending	Pending	N/A
UNMISS													
N/A	Civilian staff (1)	Child (1)	SA	Sexual assault	OIOS	116	Unsubstantiated	Insufficient evidence	N/A	None	Closed	N/A	No
N/A	Civilian staff (1)	Adult (1)	SE	Exploitative relationship	For information[b]	N/A	N/A	N/A	N/A	N/A	Closed	N/A	N/A
N/A	Civilian staff (1)	Adult (1)	SE	Transactional sex	Mission	Pending	Pending	Pending	N/A	Pending	United Nations pending	Pending	N/A
UNOCI													
N/A	Civilian staff (1)	Child (1)	SA	Rape	OIOS	Pending	Pending	Pending	N/A	Pending	United Nations pending	Pending	Pending
UNSCO													
N/A	Civilian national staff (1)	Child (1)	SA	Other	Mission	35	Unsubstantiated	No evidence	N/A	None	Closed	N/A	No
UNSMIL													
N/A	Civilian staff (1)	Adult	SE	Transactional sex	OIOS	238	Unsubstantiated	Insufficient evidence	N/A	None	Closed	N/A	N/A

Nationality of personnel involved	*Category of personnel and number of subjects*	*Age and number of victims*	*Allegation*	*Allegation reported (description)*	*Investigation/ status*	*Duration of investigation (days)[a]*	*Results/outcome*	*Findings*	*Paternity established*	*Interim action*	*Final action*	*Details of action by the United Nations*	*Referral for criminal prosecution*
N/A	Civilian staff (1)	Adult	SE	Transactional sex	OIOS	238	Unsubstantiated	Insufficient evidence	N/A	None	Closed	N/A	N/A
N/A	Civilian staff (1)	Adult	SE	Transactional sex	OIOS	238	Unsubstantiated	Insufficient evidence	N/A	None	Closed	N/A	N/A
N/A	United Nations Volunteer (1)	Adult	SE	Transactional sex	OIOS	238	Unsubstantiated	Insufficient evidence	N/A	None	Closed	N/A	N/A

Abbreviations: (general) N/A, not applicable; OIOS, Office of Internal Oversight Services; SA, sexual abuse; SE, sexual exploitation; (entities) MINURSO, United Nations Mission for the Referendum in Western Sahara; MINUSCA, United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic; MONUSCO, United Nations Organization Stabilization Mission in the Democratic Republic of the Congo; UNAMA, United Nations Assistance Mission in Afghanistan; UNIOGBIS, United Nations Integrated Peacebuilding Office in Guinea-Bissau; UNISFA, United Nations Interim Security Force for Abyei; UNMISS, United Nations Mission in South Sudan; UNOCI, United Nations Operation in Côte d'Ivoire; UNSCO, Office of the United Nations Special Coordinator for the Middle East Peace Process; UNSMIL, United Nations Support Mission in Libya.

[a] The duration of investigation is calculated from the date of referral to the entity to the date when the Department of Field Support receives the final investigation report.

[b] Information deemed insufficient to allow for further investigation.

[c] Pending United Nations review of the investigation report.

Breakdown of allegations involving civilian and other personnel, 2016

Breakdown		*Age and number of victims*	*Allegation*		*Investigation*		*Result*	
Total number of allegations	23							
Number of subjects involved	24		Sexual abuse	8	Office of Internal Oversight Services	11	Substantiated	1
Number of victims involved	19	Adult victims (12)	Sexual exploitation	15	Mission	7	Unsubstantiated	8
		Child victims (7)	Paternity	2	For information[a]	5	Pending	9
							N/A	5

Abbreviation: N/A, not applicable.

[a] Information deemed insufficient to allow for further investigation.

2. Allegations reported to the Office of Internal Oversight Services in 2016 involving military personnel in peacekeeping and special political missions, by mission (as of 31 December 2016)

Nationality of personnel involved	*Category of personnel and number of subjects*	*Age and number of victims*	*Allegation*	*Allegation reported (description)*	*Investigation/ status*	*Duration of investigation (days)[a]*	*Results/ outcome*	*Findings*	*Paternity established*	*Interim action*	*Final action*	*Details of action by troop-contributing country*	*Referral for criminal prosecution*
MINUSCA													
Bangladesh	MC (2)	Child (1)	SA	Rape	TCC	105	Substantiated (1) Unsubstantiated (1)	Rape (1) Insufficient evidence (1)	N/A	None	United Nations repatriation (1) TCC jail (1) TCC dismissal (1)	One year imprisonment	N/A
Burundi	MC (4)	Child (1)	SA	Rape	TCC and OIOS	Pending	Pending	Pending	N/A	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A
Burundi	MC (30)	Adult (22) Child (42) Unknown (5)	SE SA	Rape Sexual assault Transactional sex Exploitative relationship (paternity pending)	TCC and OIOS	181	Pending[b]	Pending	Pending	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A
Burundi	MC (5)	Adult (4) Child (1)	SE SA	Rape Exploitative relationship (paternity)	TCC and OIOS	51	Unsubstantiated (3) Pending (2)	Insufficient evidence (3) Pending (2)	Pending	Pending identification of personnel involved	United Nations pending (2) TCC pending (2)	Pending	N/A
Burundi	MC (2)	Child (2)	SA	Rape	TCC and OIOS	81	Unsubstantiated	Insufficient evidence	N/A	None	Closed	N/A	N/A
Cameroon	MC (1)	Adult (1)	SA	Sexual assault	TCC	Pending	Pending	Pending	N/A	Payments suspended	United Nations pending TCC pending	Pending	N/A
Democratic Republic of the Congo	MC (1)	Child (1)	SA	Rape	OIOS	Pending	Pending	Pending	N/A	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A
Democratic Republic of the Congo[c]	MC (2)	Child (1)	SA	Rape	TCC	Pending	Pending	Pending	N/A	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A
Democratic Republic of the Congo[d]	MC	Child (1)	SA	Rape	TCC	Pending	Pending	Pending	N/A	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A

Nationality of personnel involved	*Category of personnel and number of subjects*	*Age and number of victims*	*Allegation*	*Allegation reported (description)*	*Investigation/ status*	*Duration of investigation (days)*[a]	*Results/ outcome*	*Findings*	*Paternity established*	*Interim action*	*Final action*	*Details of action by troop-contributing country*	*Referral for criminal prosecution*
Democratic Republic of the Congo	MC	Adult (1)	SA	Rape	TCC	Pending	Pending	Pending	N/A	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A
Democratic Republic of the Congo	MC (1)	Child (1)	SA	Rape (paternity)	OIOS	337	Pending[b]	Pending	Pending	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A
Democratic Republic of the Congo	MC (1)	Child (1)	SA	Rape	OIOS	337	Pending[b]	Pending	N/A	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A
Democratic Republic of the Congo	MC (1)	Child (1)	SA	Rape	OIOS	337	Pending[b]	Pending	N/A	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A
Democratic Republic of the Congo	MC (1)	Child (1)	SA	Rape (paternity)	OIOS	337	Pending[b]	Pending	Pending	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A
Democratic Republic of the Congo	MC (1)	Child (1)	SA	Rape (paternity)	OIOS	Pending	Pending	Pending	Pending	Pending	United Nations pending TCC pending	Pending	N/A
Democratic Republic of the Congo	MC (1)	Child (1)	SA	Rape (paternity)	OIOS	Pending	Pending	Pending	Pending	Pending	United Nations pending TCC pending	Pending	N/A
Democratic Republic of the Congo	MC (1)	Child (1)	SA	Rape	OIOS	Pending	Pending	Pending	N/A	Payments suspended	United Nations pending TCC pending	Pending	N/A
Democratic Republic of the Congo	MC (1)	Child (1)	SA	Rape (paternity pending)	OIOS	253	Pending[b]	Pending	Pending	Pending	United Nations pending TCC pending	Pending	N/A
Democratic Republic of the Congo	MC (1)	Child (1)	SA	Rape (paternity)	OIOS	253	Pending[b]	Pending	Pending	Pending	United Nations pending TCC pending	Pending	N/A
Democratic Republic of the Congo	MC (1)	Child (1)	SA	Rape (paternity pending)	OIOS	253	Pending[b]	Pending	Pending	Pending	United Nations pending TCC pending	Pending	N/A
Democratic Republic of the Congo	MC (1)	Child (1)	SA	Rape (paternity pending)	OIOS	253	Pending[b]	Pending	Pending	Pending	United Nations pending TCC pending	Pending	N/A

Nationality of personnel involved	*Category of personnel and number of subjects*	*Age and number of victims*	*Allegation*	*Allegation reported (description)*	*Investigation/ status*	*Duration of investigation (days)*[a]	*Results/ outcome*	*Findings*	*Paternity established*	*Interim action*	*Final action*	*Details of action by troop-contributing country*	*Referral for criminal prosecution*
Democratic Republic of the Congo	MC (1)	Child (1)	SA	Rape	OIOS	219	Pending[b]	Pending	N/A	Pending	United Nations pending TCC pending	Pending	N/A
Democratic Republic of the Congo	MC (1)	Adult (1)	SE	Transactional sex	OIOS	245	Pending[b]	Pending	N/A	Pending	United Nations pending TCC pending	Pending	N/A
Congo	MC (4)	Child (1)	SA	Rape	TCC	Pending	Pending	Pending	N/A	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A
Congo	MC (1)	Child (1)	SA	Rape	TCC	254	Pending[c]	Pending	N/A	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A
Congo[c]	MC (3)	Child (1)	SA	Rape	TCC	254	Pending[c]	Pending	N/A	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A
Congo[d]	MC	Child (1)	SA	Rape	TCC	254	Pending[c]	Pending	N/A	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A
Congo	MC (1)	Child (1)	SA	Rape	TCC	254	Pending[c]	Pending	N/A	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A
Congo	MC	Child (1)	SA	Rape	TCC	254	Pending[c]	Pending	N/A	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A
Congo	MC (1)	Child (1)	SA	Rape	OIOS	Pending	Pending	Pending	N/A	Payments suspended	United Nations pending TCC pending	Pending	N/A
Congo	MC	Adult (1)	SA	Rape	TCC and OIOS	47	Pending[c]	Pending	N/A	Payments suspended	United Nations pending TCC pending	Pending	N/A
Congo	MC (1)	Adult (1)	SE	Solicitation of transactional sex	TCC and OIOS	Pending	Pending	Pending	N/A	Payments suspended	United Nations pending TCC pending	Pending	N/A

Nationality of personnel involved	*Category of personnel and number of subjects*	*Age and number of victims*	*Allegation*	*Allegation reported (description)*	*Investigation status*	*Duration of investigation (days)[a]*	*Results/ outcome*	*Findings*	*Paternity established*	*Interim action*	*Final action*	*Details of action by troop-contributing country*	*Referral for criminal prosecution*
Egypt	MC (1)	Adult (1)	SA	Sexual assault	TCC	29	Substantiated	Attempted sexual assault	N/A	Payments suspended	United Nations repatriation (1) TCC jail (1)	Five years imprisonment	N/A
Gabon	MC (5)	Adult (1) Child (4)	SE SA	Rape Exploitative relationship	TCC	216	Substantiated (1) Unsubstantiated (4)	Rape (1) Fraternization (1) Insufficient evidence (3)	N/A	Payments suspended	United Nations repatriation (1) TCC jail (1)	45 days imprisonment	N/A
Gabon	MC (19)	Adult (26) Child (36) Unknown (5)	SE SA	Rape Sexual assault Transactional sex Exploitative relationship (paternity pending)	TCC and OIOS	Pending	Pending	Pending	Pending	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A
Gabon	MC	Adult (15) Child (3)	SE SA	Rape Exploitative relationship (paternity)	TCC	Pending	Pending	Pending	Pending	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A
Gabon	MC (4)	Adult (1)	SE	Exploitative relationship	TCC	Pending	Pending	Pending	N/A	Payments suspended Repatriation	United Nations pending TCC pending	Pending	N/A
Mauritania	MC (1)	Child (1)	SA	Rape (paternity pending)	TCC and OIOS	68	Pending[c]	Pending	Pending	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A
Mauritania	MC (2)	Child (2)	SA	Rape (paternity pending)	TCC	Pending	Pending	Pending	Pending	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A
Morocco	MC (10)	Child (5)	SA	Rape (paternity)	TCC and OIOS	Pending	Pending	Pending	Pending	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A
Morocco	MC (1)	Child (1)	SA	Rape	TCC and OIOS	Pending	Pending	Pending	N/A	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A

Nationality of personnel involved	Category of personnel and number of subjects	Age and number of victims	Allegation	Allegation reported (description)	Investigation/ status	Duration of investigation (days)[a]	Results/ outcome	Findings	Paternity established	Interim action	Final action	Details of action by troop-contributing country	Referral for criminal prosecution
Morocco	MC (1)	Adult (1)	SE	Exploitative relationship	TCC and OIOS	Pending	Pending	Pending	N/A	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A
Morocco	MC (4)	Adult (2)	SE	Transactional sex (paternity claim)	TCC and OIOS	154	Unsubstantiated	Insufficient evidence	No	None	Closed	N/A	N/A
Morocco	MC (1)	Adult (1)	SA	Sexual assault	TCC and OIOS	Pending	Pending	Pending	N/A	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A
Niger	MC (4)	Child (2)	SA	Sexual assault	TCC	Pending	Pending	Pending	N/A	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A
Pakistan	MC (8)	Adult (5)	SE	Transactional sex	TCC	86	Unsubstantiated	Insufficient evidence	N/A	None	Closed	N/A	N/A
Zambia	MC (6)	Adult (1)	SA	Rape	TCC	30	Unsubstantiated	Insufficient evidence	N/A	None	Closed	N/A	N/A
N/A	MC	Adult (1)	SA	Rape	United Nations review[c]	Pending	Pending	Pending	N/A	Pending	United Nations pending TCC pending	Pending	N/A
MINUSMA													
Benin	MC (1)	Adult (1)	SE	Exploitative relationship	TCC	Pending	Pending	Pending	N/A	Pending	United Nations pending TCC pending	Pending	N/A
Chad	MC	Child (1)	SA	Other	OIOS	158	Pending[b]	Pending	N/A	Payments suspended	United Nations pending TCC pending	Pending	N/A
N/A	MC	Adult	SE	Transactional sex	For information[d]	N/A	N/A	N/A	N/A	N/A	Closed	N/A	N/A
MINUSTAH													
Guatemala	MC (2)	Adult (2)	SE	Transactional sex	TCC	13	Substantiated	Transactional sex	N/A	Payments suspended (withheld)	United Nations repatriation (2) TCC dismissal (2) TCC administrative (2)	80 demerits	N/A

Nationality of personnel involved	Category of personnel and number of subjects	Age and number of victims	Allegation	Allegation reported (description)	Investigation/ status	Duration of investigation (days)[a]	Results/ outcome	Findings	Paternity established	Interim action	Final action	Details of action by troop-contributing country	Referral for criminal prosecution
MONUSCO													
Bangladesh	MC (1)	Adult (1)	SE	Exploitative relationship (paternity)	TCC	183	Pending[b]	Pending	Pending	Pending	United Nations pending TCC pending	Pending	N/A
Malawi	MC (1)	Adult (1)	SE	Transactional sex (paternity)	TCC	Pending	Pending	Pending	Pending	Payments suspended	United Nations pending TCC pending	Pending	N/A
Morocco	MC (1)	Adult (1)	SE	Transactional sex	TCC and OIOS	Pending	Pending	Pending	N/A	Pending	United Nations pending TCC pending	Pending	N/A
Morocco	MC (1)	Adult (1)	SE	Transactional sex (paternity pending)	TCC and OIOS	Pending	Pending	Pending	Pending	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A
South Africa	MC (1)	Child (1)	SA	Rape (paternity pending)	TCC	Pending	Pending	Pending	Pending	Payments suspended	United Nations pending TCC pending	Pending	N/A
South Africa	MC (1)	Adult (1)	SE	Exploitative relationship (paternity)	TCC	Pending	Pending	Pending	Pending	Payments suspended	United Nations pending TCC pending	Pending	N/A
South Africa	MC	Adult	SE	Solicitation of transactional sex	TCC	Pending	Pending	Pending	N/A	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A
South Africa	MC (1)	Adult (1)	SE	Transactional sex (paternity)	TCC	Pending	Pending	Pending	Pending	Payments suspended	United Nations pending TCC pending	Pending	N/A
South Africa	MC (1)	Adult (1)	SE	Exploitative relationship (paternity)	TCC	Pending	Pending	Pending	Pending	None	United Nations pending TCC pending	Pending	N/A
South Africa	MC (1)	Adult (1)	SE	Transactional sex	Mission	Pending	Pending	Pending	N/A	Payments suspended	United Nations pending TCC pending	Pending	N/A
South Africa	MC (1)	Adult (1)	SE	Transactional sex	TCC	119	Unsubstantiated	Insufficient evidence	N/A	Payments suspended (reimbursed)	Closed	N/A	N/A
United Republic of Tanzania	MC (1)	Adult (1)	SE	Transactional sex (paternity)	TCC	Pending	Pending	Pending	Pending	Pending	United Nations pending TCC pending	Pending	N/A

Nationality of personnel involved	*Category of personnel and number of subjects*	*Age and number of victims*	*Allegation*	*Allegation reported (description)*	*Investigation/ status*	*Duration of investigation (days)[a]*	*Results/ outcome*	*Findings*	*Paternity established*	*Interim action*	*Final action*	*Details of action by troop-contributing country*	*Referral for criminal prosecution*
United Republic of Tanzania	MC (12)	Adult (8) Child (3) Unknown (1)	SE SA	Rape Exploitative relationship Unknown (paternity)	TCC and OIOS	104	Substantiated (3) Unsubstantiated (9)	Exploitative relationship (2) Rape (1) Insufficient evidence (9)	Yes (3)	Payments suspended	United Nations pending TCC pending	Pending	N/A
Uruguay	MC (1)	Adult (1)	SE	Transactional sex	TCC	39	Unsubstantiated	No evidence	N/A	Payments suspended (reimbursed)	Closed	N/A	N/A
UNIFIL													
Indonesia	MC (1)	Adult (1)	SE	Solicitation of transactional sex	TCC	Pending	Pending	Pending	N/A	Pending	United Nations pending TCC pending	Pending	N/A
UNMIL													
Ghana	MC (1)	Adult (1)	SE	Exploitative relationship (paternity)	TCC	Pending	Pending	Pending	Pending	Pending	United Nations pending TCC pending	Pending	N/A
UNMISS													
Ethiopia[b]	MC	Adult	SE	Transactional sex	TCC	87	Unsubstantiated	No evidence	N/A	None	Closed	N/A	N/A
Nepal[b]	MC	Adult (3)	SE SA	Transactional sex Sexual assault	TCC	Pending	Pending	Pending	N/A	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A
UNOCI													
Niger	MC (1)	Adult (1)	SE	Exploitative relationship (paternity)	Mission	Pending	Pending	Pending	Pending	Pending	United Nations pending TCC pending	Pending	N/A
Niger	MO (1)	Adult (1)	SE SA	Rape Exploitative relationship	OIOS	156	Substantiated	Exploitative relationship	N/A	Payments suspended (withheld)	United Nations repatriation (1) TCC pending	Pending	N/A
Pakistan	MC (1)	Child (1)	SA	Rape (paternity)	TCC	Pending	Pending	Pending	Pending	Pending	United Nations pending TCC pending	Pending	N/A
Senegal	MC (1)	Adult (1)	SE	Exploitative relationship	Mission	149	Pending[c]	Pending	N/A	Pending identification of personnel involved	United Nations pending TCC pending	Pending	N/A

Nationality of personnel involved	*Category of personnel and number of subjects*	*Age and number of victims*	*Allegation*	*Allegation reported (description)*	*Investigation/ status*	*Duration of investigation (days)[a]*	*Results/ outcome*	*Findings*	*Paternity established*	*Interim action*	*Final action*	*Details of action by troop-contributing country*	*Referral for criminal prosecution*
Senegal	MC (1)	Child (1)	SA	Rape (paternity)	OIOS	151	Substantiated	Sexual assault	Pending	Pending	United Nations pending TCC pending	Pending	N/A
N/A	MC	Adult	SE	Transactional sex	For information[b]	N/A	N/A	N/A	N/A	N/A	Closed	N/A	N/A

Abbreviations: (general) MC, military contingent; MO, military observer; N/A, not applicable; OIOS, Office of Internal Oversight Services; SA, sexual abuse; SE, sexual exploitation; TCC, troop-contributing country; (entities) MINUSCA, United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic; MINUSMA, United Nations Multidimensional Integrated Stabilization Mission in Mali; MINUSTAH, United Nations Stabilization Mission in Haiti; MONUSCO, United Nations Organization Stabilization Mission in the Democratic Republic of the Congo; UNIFIL, United Nations Interim Force in Lebanon; UNMIL, United Nations Mission in Liberia; UNOCI, United Nations Operation in Côte d'Ivoire.

[a] For United Nations investigative entities, the duration of investigation is calculated from the date of referral to the entity to the date when the Department of Field Support receives the final investigation report. For troop-contributing countries, the duration of the investigation is calculated from the date when the troop-contributing country has indicated it will investigate the matter to the date when the Department receives the final investigation report.

[b] Pending additional information from the Member State.

[c] The case involves military personnel from more than one troop-contributing country. The case is listed for both countries in this table, but should only be counted once. The case involves one victim, who is listed in connection to both troop-contributing countries, but who should only be counted once.

[d] The case involves military personnel from more than one troop-contributing country. The case is listed for both countries in this table, but should only be counted once. The case involves one victim, who is listed in connection to both troop-contributing countries, but who should only be counted once.

[e] Pending United Nations review of the investigation report.

[f] Information reviewed was found not to be credible enough to warrant investigation or requires further validation.

[g] Information deemed insufficient to allow for further investigation.

[h] The case involves military personnel from more than one troop-contributing country. The case is listed for both countries in this table, but should only be counted once.

Breakdown of allegations involving military personnel, 2016

Breakdown		*Age and number of victims*	*Allegation*		*Investigation*		*Result*	
Total number of allegations	73							
Number of subjects involved	172		Sexual abuse	39	TCC	33	Substantiated	7
Number of victims involved	255	Adult victims (116)	Sexual exploitation	26	TCC and OIOS	16	Unsubstantiated	6
		Child victims (128)[a]	Sexual exploitation and abuse	8	OIOS	18	Pending	58
		Unknown (11)	Paternity	29	Mission	3	N/A	2
					United Nations review[b]	1		
					For information[c]	2		

Abbreviations: N/A, not applicable; OIOS, Office of Internal Oversight Services; TCC, troop-contributing country.

[a] In two cases, the victim is listed for two troop-contributing countries, but is only counted once in the total number of victims.

[b] Information reviewed was found not to be credible enough to warrant investigation or requires further validation.

[c] Information deemed insufficient to allow for further investigation.

3. Allegations reported to the Office of Internal Oversight Services in 2016 involving police personnel in peacekeeping and special political missions, by mission (as at 31 December 2016)

Nationality of personnel involved	*Category of personnel and number of subjects*	*Age and number of victims*	*Allegation*	*Allegation reported (description)*	*Investigation status*	*Duration of investigation (days)*[a]	*Results/ outcome*	*Findings*	*Paternity established?*	*Interim action*	*Final action*	*Details of action by police-contributing country*	*Referral for criminal prosecution*
MINUSCA													
Cameroon	FPU (1)	Child (1)	SA	Rape	Mission	95	Pending[b]	Pending	N/A	Pending	United Nations pending PCC pending	Pending	Pending
Niger	POL (1)	Adult (1)	SA	Sexual assault	Mission	83	Unsubstantiated	Insufficient evidence	N/A	Payments suspended (reimbursed)	Closed	N/A	No
Senegal	FPU (2)	Child (1)	SA	Rape	OIOS	Pending	Pending	Pending	N/A	Pending identification of personnel involved	United Nations pending PCC pending	Pending	Pending
MINUSTAH													
Benin	POL (2)	Adult	SE	Exploitative relationship	Mission	109	Unsubstantiated	No sexual contact but fraternization	N/A	Payments suspended (reimbursed)	Closed	N/A	N/A
Cameroon	POL (1)	Child (1)	SA	Rape	OIOS	Pending	Pending	Pending	N/A	Pending	United Nations pending PCC pending	Pending	Pending
Niger	POL (1)	Adult (1)	SE	Transactional sex	Mission	29	Substantiated	Transactional sex	N/A	Payments suspended (withheld)	United Nations repatriation (1) PCC pending	Pending	N/A
UNMIL													
Zimbabwe	POL (1)	Adult (1)	SE	Transactional sex	Mission	70	Unsubstantiated	No evidence	N/A	None	Closed	N/A	N/A

Abbreviations: (general) FPU, formed police unit; N/A, not applicable; OIOS, Office of Internal Oversight Services; PCC, police-contributing country; POL, United Nations police; SA, sexual abuse; SE, sexual exploitation; (entities) MINUSCA, United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic; MINUSTAH, United Nations Stabilization Mission in Haiti; UNMIL, United Nations Mission in Liberia.

[a] For United Nations investigative entities, the duration of investigation is calculated from the date of referral to the entity to the date when the Department of Field Support receives the final investigation report. For the police-contributing country, the duration of the investigation is calculated from the date when the police-contributing country has indicated it will investigate the matter to the date when the Department receives the final investigation report.

[b] Pending United Nations review of the investigation report.

Breakdown of allegations involving police personnel, 2016

Breakdown		*Age and number of victims*	*Allegation*		*Investigation*		*Result*	
Total number of allegations	7							
Number of subjects involved	9		Sexual abuse	4	OIOS	2	Substantiated	1
Number of victims involved	6	Adult victims (3)	Sexual exploitation	3	Mission	5	Unsubstantiated	3
		Child victims (3)	Paternity	0			Pending	3

Abbreviation: OIOS, Office of Internal Oversight Services.

4. Allegations reported to the Office of Human Resources Management by entities other than peacekeeping and special political missions (as at 31 December 2016)

Nationality of personnel involved	*Category of personnel and number of subjects*	*Age and number of victims*	*Allegation*	*Allegation reported (description)*	*Investigation/ status*	*Duration of investigation (days)[a]*	*Results/outcome*	*Findings*	*Paternity established*	*Interim action*	*Final action*	*Details of action by police-contributing country*	*Referral for criminal prosecution*
UNDP-Iraq													
N/A	Civilian/ international staff (1)	Adult (1)	SE	Transactional sex	OAI	N/A	Unsubstantiated	N/A	N/A	N/A	Closed	N/A	N/A
N/A	Civilian/ international staff (1)	Adult (2)	SA	Rape	OAI	N/A	Pending	Pending	N/A	N/A	Pending	N/A	N/A
UNFPA-United States of America													
N/A	Civilian/ UNFPA staff (1)	Adult (1)	SE	Transactional sex	OAIS	N/A	Unsubstantiated	Insufficient evidence	N/A	N/A	Closed	N/A	N/A
UNHCR-Eastern Europe/Western Asia													
N/A	Civilian/ UNHCR staff (1)	Adult (1)	SA	Sexual assault	IGO	N/A	Pending	Pending	N/A	N/A	Pending	N/A	N/A
UNHCR-Central African Republic													
N/A	Civilian/ local staff (1)	Child (1)	SA	Rape	IGO	N/A	Unsubstantiated	Unfounded	N/A	N/A	Closed	N/A	N/A
UNHCR-Chad													
N/A	Civilian/ local staff (1)	N/A	SE	Exploitative relationship[b]	UNHCR	N/A	Unsubstantiated	Insufficient evidence	N/A	N/A	Closed	N/A	N/A
UNHCR-South America													
N/A	Civilian/ local staff (1)	Child (1)	SA	Rape	IGO	N/A	Pending	Pending	N/A	N/A	Pending	N/A	N/A
UNHCR-Côte d'Ivoire													
N/A	Civilian/United Nations Volunteer (1)	Adult (3)	SE	Transactional sex	IGO	N/A	Unsubstantiated	Insufficient evidence	N/A	N/A	Closed	N/A	N/A
UNHCR-Eastern Africa													
N/A	Civilian/ local staff (1)	Adult	SE	Transactional sex	IGO	N/A	Pending	Pending	N/A	N/A	Pending	N/A	N/A
UNHCR-Iraq													
N/A	Civilian/ UNHCR staff (1)	Child (1)	SE	Transactional sex	UNHCR	N/A	N/A	Unable to identify victims	N/A	N/A	Closed	N/A	N/A

Nationality of personnel involved	Category of personnel and number of subjects	Age and number of victims	Allegation	Allegation reported (description)	Investigation/ status	Duration of investigation (days)[a]	Results/outcome	Findings	Paternity established	Interim action	Final action	Details of action by police-contributing country	Referral for criminal prosecution
N/A	Civilian/ local staff (1)	N/A	SE	Solicitation of transactional sex[c]	IGO	N/A	Unsubstantiated	Unfounded	N/A	N/A	Closed	N/A	No
UNHCR-Western Asia													
N/A	Civilian/ local staff (1)	Adult (1)	SE	Other	IGO	N/A	Unsubstantiated	Unfounded	N/A	N/A	Closed	N/A	N/A
N/A	Civilian/ local contractor (1)	Adult (1)	SE	Exploitative relationship	IGO	N/A	Pending	Pending	N/A	N/A	Pending	N/A	N/A
UNHCR-Eastern Africa													
N/A	Civilian/ local staff (1)	N/A (1)	SE	Exploitative relationship[b]	UNHCR	N/A	Pending	Pending	N/A	N/A	Pending	N/A	N/A
N/A	Civilian/ local staff	Child	SE	Solicitation of child prostitution	IGO	N/A	Pending	Pending	N/A	N/A	Pending	N/A	N/A
N/A	Civilian/ local staff (1)	Adult (1)	SE	Exploitative relationship	IGO	N/A	Pending	Pending	N/A	N/A	Pending	N/A	N/A
N/A	Civilian/ local contractor (1)	Adult (1)	SA	Rape	IGO	N/A	Pending	Pending	N/A	N/A	Pending	N/A	N/A
N/A	Civilian/ local staff (1)	N/A (1)	SE	Exploitative relationship[c]	IGO	N/A	Pending	Pending	N/A	N/A	Pending	N/A	N/A
N/A	Civilian/ local staff (1)	N/A	SE	Transactional sex[c]	IGO	N/A	Pending	Pending	N/A	N/A	Pending	N/A	N/A
UNHCR-Middle East													
N/A	Civilian/ local contractor (1)	N/A (1)	SA	Sexual assault[d]	UNHCR	N/A	N/A	The perpetrator was dismissed by contractor company	N/A	None	Closed	N/A	N/A
N/A	Civilian/ UNHCR staff (1)	Adult (1)	SE	Exploitative relationship	IGO	N/A	Pending	Pending	N/A	N/A	Pending	N/A	N/A
UNHCR-Nepal													
N/A	Civilian/ local staff (1)	Adult (1)	SE	Exploitative relationship	IGO	N/A	Unsubstantiated	N/A	N/A	N/A	Closed	N/A	N/A
UNHCR-Central Africa													
N/A	Civilian/ UNHCR staff	Child	SE	Other	IGO	N/A	Pending	Pending	N/A	N/A	Pending	N/A	N/A

Nationality of personnel involved	*Category of personnel and number of subjects*	*Age and number of victims*	*Allegation*	*Allegation reported (description)*	*Investigation status*	*Duration of investigation (days)[a]*	*Results/outcome*	*Findings*	*Paternity established*	*Interim action*	*Final action*	*Details of action by police-contributing country*	*Referral for criminal prosecution*
UNHCR-South Sudan													
N/A	Civilian/ UNHCR staff (2)	Adult	SE	Transactional sex	IGO	N/A	Unsubstantiated	Insufficient evidence	N/A	N/A	Closed	N/A	N/A
N/A	Civilian/ UNHCR staff (2)	Adult	SE	Transactional sex	IGO	N/A	Unsubstantiated	Insufficient evidence	N/A	N/A	Closed	N/A	N/A
UNHCR-Togo													
N/A	Civilian/ UNHCR staff (1)	Adult (1)	SE	Transactional sex	UNHCR	N/A	N/A	The perpetrator is no longer an UNHCR staff	N/A	N/A	Closed	N/A	N/A
UNHCR-Central Africa													
N/A	Civilian/ local staff (1)	Child	SA	Rape	IGO	N/A	Pending	Pending	N/A	N/A	Pending	N/A	N/A
UNHCR-Zambia													
N/A	Civilian/ local staff (1)	Child (1)	SA	Rape	IGO	N/A	Unsubstantiated	Unfounded	N/A	N/A	Closed	N/A	N/A
UNHCR-Zimbabwe													
N/A	Civilian/ international staff (1)	N/A	SE	Transactional sex[b]	IGO	N/A	Unsubstantiated	Insufficient evidence	N/A	N/A	Closed	N/A	N/A
UNICEF-Guinea													
N/A	Civilian/ international staff (1)	Child (1)	SE	Other	UNICEF	N/A	N/A	Staff member had resigned	N/A	N/A	Closed	N/A	N/A
N/A	Civilian/ national staff (1)	Child (1)	SE	Other	UNICEF	N/A	N/A	Staff member had resigned	N/A	N/A	Closed	N/A	N/A
N/A	Civilian/ national staff (1)	Child (1)	SE	Other	UNICEF	N/A	N/A	Staff member had resigned	N/A	N/A	Closed	N/A	N/A
UNOPS-South Sudan													
N/A	Civilian/ international consultant or contractor (2)	N/A (2)	SE	Transactional sex[b]	IAIG	N/A	Pending	Pending	N/A	N/A	Pending	N/A	N/A

Nationality of personnel involved	*Category of personnel and number of subjects*	*Age and number of victims*	*Allegation*	*Allegation reported (description)*	*Investigation status*	*Duration of investigation (days)[a]*	*Results/outcome*	*Findings*	*Paternity established*	*Interim action*	*Final action*	*Details of action by police-contributing country*	*Referral for criminal prosecution*
UNRWA-Jordan													
N/A	Civilian/ local staff (1)	Child (2)	SA	Sexual assault	UNRWA	N/A	Substantiated	Rape	N/A	Subject on Administrative leave	Pending. Disciplinary process is ongoing	N/A	N/A
N/A	Civilian/ local staff (1)	N/A (4)	SE	Sexual assault[d]	UNRWA	N/A	Substantiated	Sexual assault	N/A	N/A	Pending. Disciplinary process is ongoing	N/A	N/A
N/A	Civilian/ local staff (1)	Adult (1)	SE	Sexual assault	UNRWA	N/A	Pending	Pending	N/A	N/A	Pending	N/A	N/A
N/A	Civilian/ local staff (1)	Child (1)	SE	Sexual assault	UNRWA	N/A	Pending	Pending	N/A	N/A	Pending	N/A	N/A
UNRWA-Lebanon													
N/A	Civilian/ local staff (1)	Child	SE	Other	UNRWA	N/A	Unsubstantiated	Unfounded	N/A	N/A	Closed	N/A	N/A
N/A	Civilian/ local staff (1)	Adult (1)	SE	Exploitative relationship	UNRWA	N/A	Unsubstantiated	Unfounded	N/A	N/A	Closed	N/A	N/A
UNRWA-Occupied territories (Gaza)													
N/A	Civilian/ local staff (1)	N/A (1)	SA	Sexual assault[d]	UNRWA	N/A	Unsubstantiated	Insufficient evidence	N/A	N/A	Closed	N/A	N/A
N/A	Civilian/ local staff (1)	Adult (1)	SE	Solicitation of transactional sex	UNRWA	N/A	Unsubstantiated	Insufficient evidence	N/A	N/A	Closed	N/A	N/A
WFP-United Republic of Tanzania													
N/A	Civilian/ local staff (1)	Child (1)	SA	Rape	OIGI	N/A	Pending	Pending	N/A	N/A	Pending	N/A	N/A

Abbreviations: (general) N/A, not applicable; SA, sexual abuse; SE, sexual exploitation; (entities) UNDP, United Nations Development Programme; OAI, Office of Audit and Investigations; UNFPA, United Nations Population Fund; OAIS, Office of Audit and Investigation Services; UNHCR, Office of the United Nations High Commissioner for Refugees; IGO, Inspector General's Office; UNICEF, United Nations Children's Fund; UNOPS, United Nations Office for Project Services; IAIG, Internal Audit and Investigations Group; UNRWA, United Nations Relief and Works Agency for Palestine Refugees in the Near East; WFP, World Food Programme; OIGI, Office of Inspections and Investigations.

[a] The duration of investigation is calculated from the date of referral to the entity to the date when the entity receives the final investigation report.

[b] The age of the victim(s) was not available at the time of preparing the present report. In the event that the victims are children, the nature of allegation should be changed to "Child — rape".

[c] The age of the victim(s) was not available at the time of preparing the present report. In the event that the victims are children, the nature of allegation should be changed to "Solicitation of child prostitution".

[d] The age of the victim(s) was not available at the time of preparing the present report. In the event that the victims are children, the nature of allegation should be changed to "Child — sexual assault".

Breakdown of allegations involving civilian (United Nations staff and affiliated staff), 2016

Breakdown		*Age and number of victims*	*Allegation*		*Investigation*		*Result*	
Total number of allegations	42				OAI	2		
Number of subjects involved	N/A		Sexual abuse	11	OAIS	1	Substantiated	2
Number of victims involved	N/A	Adult victims (18)	Sexual exploitation	31	IGO	7	Unsubstantiated	16
		Child victims (11)	Paternity	0	UNICEF	3	Pending	18
		Unknown N/A			IAIG	1	N/A	6
					UNRWA	6		
					OIGI	1		

Abbreviations: IAIG, Internal Audit and Investigations Group; IGO, Inspector General's Office; N/A, not applicable; OAI, Office of Audit and Investigations; OAIS, Office of Audit and Investigation Services; OIGI, Office of Inspections and Investigations; UNICEF, United Nations Children's Fund; UNRWA, United Nations Relief and Works Agency for Palestine Refugees in the Near East.

5. Allegations reported to the Office of the United Nations High Commissioner for Human Rights related to non-United Nations forces operating under a Security Council mandate (as at 31 December 2016)

Nationality of personnel involved	*Category of personnel and number of subjects*	*Age and number of victims[a]*	*Allegation*	*Allegation reported*	*Investigation status*	*Duration of investigation (days)*	*Results/ outcome*	*Findings*	*Paternity established*	*Interim action*	*Final action*	*Referral to Member State*	*Action by Member State*
AMISOM[b]													
Ethiopia	Military (14)[c]	Child	Sexual violence	Rape	OHCHR	N/A	Concluded	Rape	N/A	N/A	N/A	Yes — AMISOM	Investigation incomplete
Ethiopia	Military (14)[d]	Child	Sexual violence	Rape	OHCHR	N/A	Concluded	Rape	N/A	N/A	N/A	Yes — AMISOM	Investigation incomplete[e]
Djibouti	Military (1)	Child	Sexual violence	Rape	OHCHR	N/A	Initial information[f]	N/A	N/A	N/A	N/A	Yes — AMISOM	Investigation closed[g]
EUFOR[h]													
Italy	Military (unknown)	Child	Sexual violence	Rape	OHCHR	N/A	Initial information	N/A	N/A	N/A	N/A	Yes	Investigation closed[i]
Georgia	Military (unknown)	Child	Sexual violence	Rape	OHCHR	N/A	Initial information	N/A	N/A	N/A	N/A	Yes	Investigation ongoing
Georgia	Military (unknown)	Child	Sexual violence	Rape	OHCHR	N/A	Initial information	N/A	N/A	N/A	N/A	Yes	Investigation ongoing
Georgia	Military (unknown)	Child	Sexual violence	Rape	OHCHR	N/A	Initial information	N/A	N/A	N/A	N/A	Yes	Investigation ongoing
Sangaris[j]													
France	Military (5)	Adult	Sexual violence	Other forms of sexual violence[k]	OHCHR	N/A	Initial information	N/A	N/A	N/A	N/A	Yes	Investigation ongoing
France	Military (1)	Adult		Other[l]	OHCHR	N/A	Initial information	N/A	N/A	N/A	N/A	Yes	Investigation ongoing
France	Military (1)	Adult	Sexual violence	Rape	OHCHR	N/A	Initial information	N/A	N/A	N/A	N/A	Yes	Investigation ongoing
France	Military (unknown)	Child	Sexual violence	Other forms of sexual violence against children	OHCHR	N/A	Initial information	N/A	N/A	N/A	N/A	Yes	Investigation ongoing
France	Military (1)	Child	Sexual violence	Rape	OHCHR	N/A	Initial information	N/A	N/A	N/A	N/A	Yes	Investigation ongoing
France	Military (1)	Adult		Other	OHCHR	N/A	Initial information	N/A	N/A	N/A	N/A	Yes	Investigation ongoing
France	Military (1)	Adult		Other	OHCHR	N/A	Initial information	N/A	N/A	N/A	N/A	Yes	Investigation ongoing
France	Military (1)	Child	Sexual violence	Rape	OHCHR	N/A	Initial information	N/A	N/A	N/A	N/A	Yes	Investigation ongoing
France	Military (unknown)	Child	Sexual violence	Other forms of sexual violence against children	OHCHR	N/A	Initial information	N/A	N/A	N/A	N/A	Yes	Investigation ongoing

Nationality of personnel involved	Category of personnel and number of subjects	Age and number of victims[a]	Allegation	Allegation reported	Investigation status	Duration of investigation (days)	Results outcome	Findings	Paternity established	Interim action	Penal action	Referral to Member State	Action by Member State
France	Military (unknown)	Child	Sexual violence	Other forms of sexual violence against children	OHCHR	N/A	Initial information	N/A	N/A	N/A	N/A	Yes	Investigation ongoing
France	Military (1)	Child	Sexual violence	Rape	OHCHR	N/A	Initial information	N/A	N/A	N/A	N/A	Yes	Investigation ongoing
France	Military unknown)	Child	Sexual violence	Rape	OHCHR	N/A	Initial information	N/A	N/A	N/A	N/A	Yes	Investigation ongoing
France	Military (unknown)	Child	Sexual violence	Rape	OHCHR	N/A	Initial information	N/A	N/A	N/A	N/A	Yes	Investigation ongoing

Abbreviations: AMISOM, African Union Mission in Somalia; EUFOR, European Union-led military operation in the Central African Republic; N/A, not applicable; OHCHR, Office of the United Nations High Commissioner for Human Rights.

[a] In this table, one allegation corresponds to one victim. Where one incident involves the same alleged perpetrators and more than one victim, it has been recorded twice in the table, and indicated in a footnote.

[b] The African Union Mission in Somalia (AMISOM) is a regional peacekeeping mission operated by the African Union with the approval of the United Nations. It was created by the African Union's Peace and Security Council in January 2007. In February 2007, the Security Council authorized the African Union to deploy a peacekeeping mission with a mandate of six months (resolution 1744 (2007)). The mandate has since been regularly renewed, most recently by Security Council resolution 2297 (2016) until 31 May 2017.

[c] It refers to one incident involving 14 alleged perpetrators against two children.

[d] It refers to the same incident as indicated in footnote c.

[e] See footnote d.

[f] Based on initial information gathered on the allegation and an assessment, OHCHR formally communicates the allegations to the concerned State or regional organization for the purpose of triggering investigations and judicial proceedings, as appropriate.

[g] The AMISOM investigation concluded that the perpetrator was not affiliated with AMISOM.

[h] EUFOR-RCA is the European Union-led military operation in the Central African Republic. Its deployment was endorsed by the European Union Council of Foreign Ministers in January 2014 to contribute to creating a secure environment in the Central African Republic, as authorized by Security Council resolution 2134 (2014). EUFOR-RCA had the mandate to ensure security in the area of Bangui, protect civilians and create a secure area for humanitarian access. It was replaced in March 2015 by a Mission Military Adviser in the Central African Republic (EUMAM RCA).

[i] Italy investigated the case and concluded that it could not find evidence to support the allegation.

[j] The French military operation Sangaris was deployed in the Central African Republic from December 2013 to October 2016, under Security Council resolution 2127 (2013), to support the deployment of the African-led International Support Mission in the Central African Republic (MISCA), protect the population, ensure security and restore stability in the Central African Republic.

[k] Based on international human rights law and OHCHR methodology, the category of "other forms of sexual violence" is used to include, inter alia, acts such as attempted rape; forced prostitution; sexual abuse of children, such as child pornography and child prostitution; sexual slavery; forced pregnancy; forced abortion; violent acts against the sexual integrity of a person; other acts of a sexual nature which cause offence or humiliation.

[l] In this context, "Other" refers to allegations that do not necessarily amount to violations of international human rights law, but may be considered as misconduct according to the Secretary-General's bulletin on special measures for protection from sexual exploitation and sexual abuse (ST/SGB/2003/13), recognizing that the latter does not apply to non-United Nations forces operating under a Security Council mandate.

Breakdown of allegations involving non-United Nations forces operating under Security Council mandate, 2016[a]

Breakdown		*Age and number of victims*	*Allegation*		*Investigation*		*Result*	
Total number of allegations	20							
Number of alleged perpetrators involved	27[b]		Rape	13	OHCHR	20	Initial information for referral to Member State	18
Number of victims involved	20	Adult victims (5)	Other forms of sexual violence	1			Concluded	2
		Child victims (15)	Other forms of sexual violence against children	3				
			Other	3				

Abbreviation: OHCHR, Office of the United Nations High Commissioner for Human Rights.

[a] While allegations were received in 2016, they relate to events that occurred between 2013 and 2016.

[b] The number of alleged perpetrators is unknown with regard to nine allegations.

D. Analysis of allegations

1. Allegations reported against personnel deployed in peacekeeping operations and special political missions

1. A total of 103 allegations were recorded in 2016 involving personnel in nine peacekeeping and four special political missions.[1] Seventy-three of the allegations involve members of military contingents or military observers, 23 involve United Nations staff members, United Nations Volunteers or contractors, and 7 involve individually deployed police officers or members of formed police units. Details thereof are provided in annex IV, sections A and C. As in previous years, an update on the status of all allegations of sexual exploitation and abuse recorded since 1 January 2010 is also made available separately.[2]

2. 52 of the allegations (50 per cent) originated from the United Nations Multidimensional Integrated Stabilization Mission in the Central African Republic (MINUSCA) alone, whereas 44 allegations (43 per cent) were recorded for eight other peacekeeping missions and seven allegations in four special political missions. A breakdown of allegations by mission and category of personnel is also contained in annex IV, section C, parts 1, 2 and 3.

3. There are 12 allegations for which the associated number of victims (alleged or confirmed victims) is unknown. Two hundred eighty victims are associated with 91 recorded allegations, with 131 victims identified as adults in the case of 62 allegations and 138 identified as children, associated with 47 allegations.[3] Some allegations have both children and adults among the alleged or confirmed victims. The significant variance between the number of victims and the number of allegations is mainly the result of 166 alleged victims being associated with four specific allegations. Those alleged or confirmed victims who could be located were offered assistance and support.

4. Sexual abuse, in the form of non-consensual sexual activities with an adult or any form of sexual activities with a child, was recorded in connection with 59 allegations (57 per cent), broken down to 47 allegations involving one or more children and 18 allegations involving non-consensual sexual relations with an adult,[4] most of which were reported for MINUSCA (44 allegations or 85 per cent of all allegations received for MINUSCA), with an additional 15 allegations among the following entities: the United Nations Operation in Côte d'Ivoire (UNOCI) (4); the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO) (4); the United Nations Mission in South Sudan (UNMISS) (2); the United Nations Stabilization Mission in Haiti (MINUSTAH) (1);

[1] 12 more allegations were also recorded by the Office of Internal Oversight Services but not included in the present report for the following reasons: two allegations involved sexual harassment, as opposed to sexual exploitation and abuse; five allegations involved conduct in violations of non-fraternization policies, without indication of sexual exploitation or abuse; three allegations involved sexual assaults among United Nations personnel, but not involving beneficiaries of assistance; and two allegations did not involve any forms of sexual relations.

[2] Supplementary tables on the status of all allegations recorded between 1 January 2010 and 31 December 2015 could not be included in the present report but are available on the website of the Conduct and Discipline Unit of the Department of Field Support (see https://cdu.unlb.org/).

[3] The number of allegations involving adults and those involving children exceeds the total of 103 allegations, since six allegations involved both adults and children.

[4] When allegations involve both sexual exploitation and sexual abuse, regardless as to whether children or adults only were involved, the matter is counted as an allegation of sexual abuse. This is the case for eight allegations in 2916. Furthermore, the number of allegations of sexual abuse involving children and sexual abuse of adults exceeds the total of 59 allegations, since 6 allegations involved the sexual abuse of both adults and children (see also previous note).

the United Nations Multidimensional Integrated Stabilization Mission in Mali (MINUSMA) (1); the United Nations Assistance Mission in Afghanistan (UNAMA) (1); the Office of the United Nations Special Coordinator for the Middle East Peace Process (UNSCO) (1);[5] and the United Nations Integrated Peacebuilding Office in Guinea-Bissau (UNIOGBIS) (1). Sexual exploitation, either mainly in the form of transactional sexual activities or exploitative relations, was reported for 44 allegations (43 per cent).

5. Paternity claims were associated with 22 allegations, with a further 9 allegations awaiting confirmation of the birth of a child.

6. 95 allegations were referred for investigation. One allegation remained under review at the end of the reporting period, whereas there was insufficient information in respect of seven allegations for the matter to be investigated.

7. During the reporting period, results of investigations pending from 2015 and earlier years[6] were received, indicating 13 substantiated and 14 unsubstantiated allegations for 2015; and one substantiated and one unsubstantiated allegation for 2014. Additional information is being requested from Member States (in the case of six allegations) and a field mission (in the case of one allegation) for seven more allegations, for which investigations results were received.

8. On the basis of substantiated allegations from 2016 or earlier for which investigation results were received in 2016, the United Nations Volunteers programme dismissed one of its personnel for an allegation of sexual exploitation recorded in 2015 for MINUSMA. Recently received reports of investigations are under review for possible referrals for disciplinary action in connection with five allegations, all in MONUSCO. Pursuant to General Assembly resolution 70/114, one allegation of sexual abuse recorded in MONUSCO, in 2015, was referred by the Office of Legal Affairs to the Democratic Republic of the Congo, for the purpose of criminal accountability.

9. 18 military personnel and six police personnel were repatriated on disciplinary grounds and barred from participating in field missions in the future, as a result of investigations substantiating 22 allegations recorded in 2016 or earlier. Appropriate disciplinary or criminal accountability measures were requested to be taken by Member States against the individuals involved. During the same period, Member States informed the United Nations of action taken in connection with 20 substantiated allegations, recorded in 2016 or earlier. Details of those measures may be found in annex IV, section C, parts 1, 2 and 3, for allegations in 2016, and in a supplementary information document, made available separately, providing updates on measures taken and communicated by Member States for allegations received between 2010 and 2015.[7]

10. In 2016, the United Nations sent 189 communications to Member States related to the appointment of national investigation officers or referrals for action on substantiated allegations, and received 174 responses in return.

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[5] The allegation reported for UNSCO involved an alleged male child victim. All other allegations reported for peacekeeping and special political missions in 2016 were reported as involving female child or adult alleged or confirmed victims.

[6] The results of investigations of two allegations recorded in 2010 were changed from substantiated to unsubstantiated, as additional information was received in both cases that revised the earlier determination.

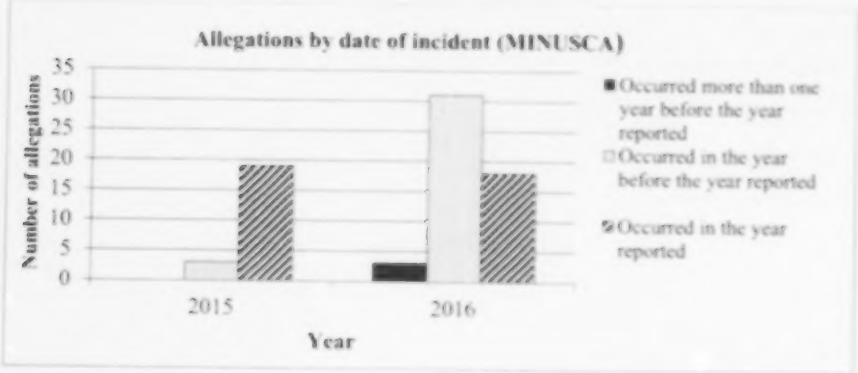
[7] See footnote 1 to part D of the present annex.

Observations

11. The number of allegations of sexual exploitation and abuse recorded in 2016 increased to 103, from 69 allegations in 2015. Once again, an even greater proportion of the allegations received can be attributed to one mission, MINUSCA, with single digit variances in allegations in eight other peacekeeping missions and the recording of seven allegations for four special political missions. Six peacekeeping missions had no allegation of sexual exploitation and abuse to report in 2016: the African Union-United Nations Hybrid Operation in Darfur (UNAMID); the United Nations Peacekeeping Force in Cyprus (UNFICYP); the United Nations Disengagement Observer Force (UNDOF); the United Nations Interim Administration Mission in Kosovo (UNMIK); the United Nations Military Observer Group in India and Pakistan (UNMOGIP); and the United Nations Truce Supervision Organization (UNTSO).

12. Half of the allegations originated from MINUSCA. However, 65 per cent of the allegations received in 2016 in MINUSCA related to incidents that occurred in 2015 or earlier (see figure I). For field missions other than MINUSCA, the situation is reversed, with 66 per cent of the allegations received in 2016 relating to incidents having occurred in 2016, as opposed to 2015 or earlier.

Figure I



13. A total of 280 persons are currently identified as alleged or confirmed victims of the 103 allegations recorded in 2016, with 205 suspected perpetrators. This is an increase over the 63 identified alleged victims associated with the 69 allegations reported in 2015 (see figure II). This is mainly attributable to three allegations recorded in MINUSCA and one additional allegation in MONUSCO. There are 166 alleged victims associated with these four allegations, or 59 per cent of the total number of victims, among whom the number of victims who are associated with two of the allegations recorded in MINUSCA represents 48 per cent of all victims. Those two allegations in MINUSCA are associated with incidents in Dekoa, in the Central African Republic, and led to interviews of some 136 alleged victims. The allegations concerned military contingent personnel from Gabon and Burundi. Both cases are pending additional information on investigations conducted in connection with 24 of the alleged victims associated with one allegation and 30 of the alleged victims associated with the other. All 136 initially identified alleged victims were offered assistance and support.

Figure II

14. The number of allegations involving military personnel demonstrates the most significant increase compared to previous years, with 73 allegations reported in 2016, as opposed to 38 allegations in 2015, 24 in 2014 and 37 in 2013. Again, this increase is associated with allegations recorded for MINUSCA, where 46 of the 52 allegations (88 per cent) were reported to involve military personnel. For civilian personnel, the 23 allegations recorded as involving United Nations staff members, United Nations Volunteers or contractors mark a single digit increase from the three previous years, whereas the seven allegations recorded as involving individually deployed police officers or members of formed police units is the lowest such number, on par with 2013 (see figure III). The number of allegations per capita of military personnel deployed remains proportionately lower than for civilian personnel in particular.

Figure III

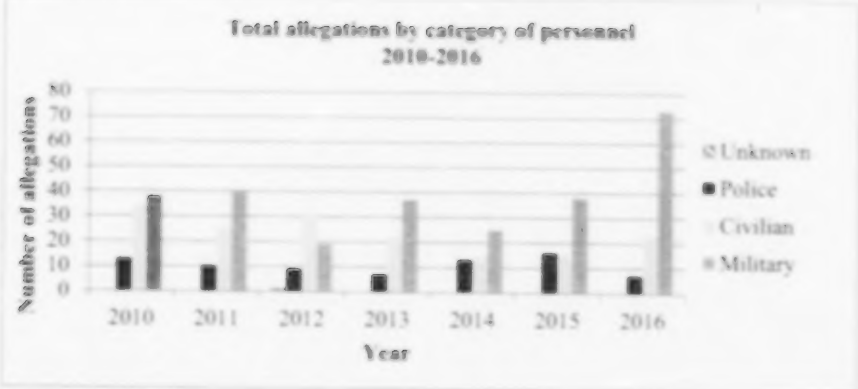
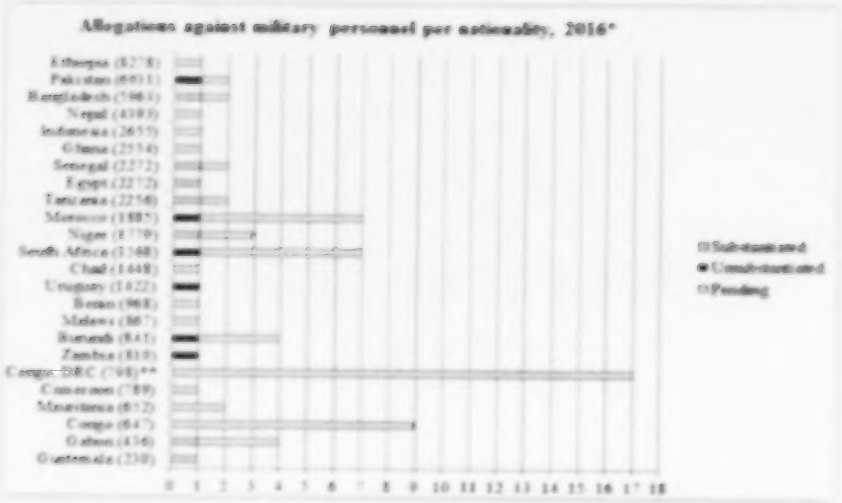


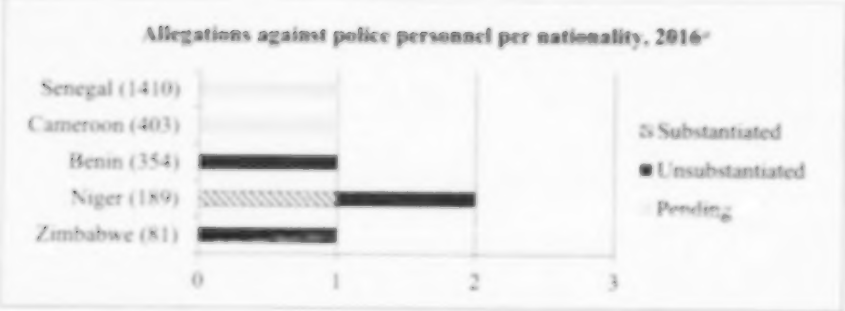
Figure IV



* The number in parenthesis after the name of the country indicates the monthly average number of military personnel deployed in 2016.

** The number indicates troops deployed in January 2016, since the Member State did not deploy troops after January 2016.

Figure V



* The number in parenthesis after the name of the country indicates the monthly average number of military personnel deployed in 2016.

15. Among all allegations recorded in 2016, the proportion relating to sexual abuse (57 per cent) has remained nearly unchanged from 2015 (55 per cent). The increase in the number of allegations overall has also meant an increase in the number of allegations of sexual abuse specifically, increasing to 59 allegations in 2016, from 38 allegations in 2015. The proportion of allegations involving sexual abuse as compared to sexual exploitation drops to 29 per cent (or 15 allegations), for the remaining field missions combined, if MINUSCA is excluded.

16. The increase in the overall number of allegations is also reflected in an increase in the number of paternity claims, described as recorded when a child is born, or pending when the birth of a child is yet to be confirmed. While information on the follow-up to such claims is being provided more readily by Member States,

more needs to be done by those who are accountable. Annex II describes examples of good practices from Member States in this regard over the past year.

17. While investigations for a large proportion of the allegations received in 2016 remain in progress, the nine substantiated allegations and 17 unsubstantiated allegations approximate the trend in the proportion of two substantiated allegations for three unsubstantiated allegations, established during the period between 2010 and 2015.[a] It is important to recall that allegations may be found to be unsubstantiated for a variety of reasons, including insufficiency of evidence and unavailability of witnesses, and not because allegations were falsely made. An allegation is considered substantiated once an investigation has been completed and facts established that a form of sexual exploitation or abuse took place.

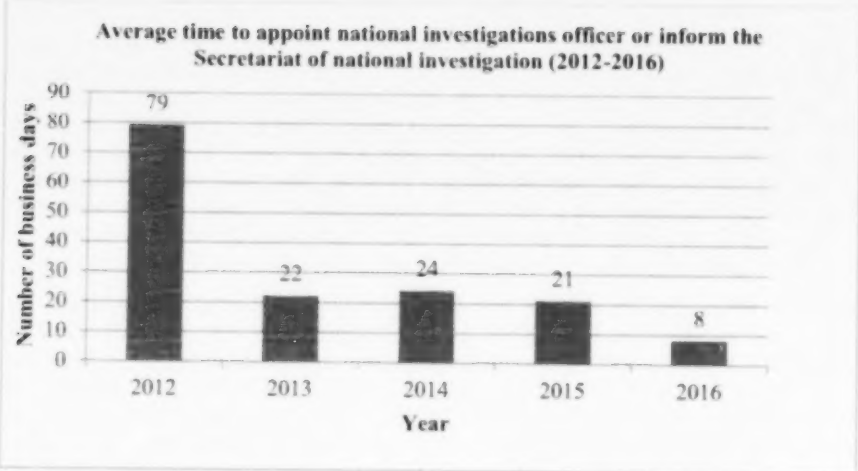
18. As of 31 January 2017, the results of investigations into 14 allegations (10 for 2015, 1 for 2014 and 3 for 2013) remain pending with nine troop-contributing countries. Investigations conducted by the United Nations have been completed for all allegations from 2015 or earlier. Figure 6 below lists the number of investigations pending with specific Member States and the year in which the related allegations were reported. Troop-contributing countries have continued to respond ever more rapidly to requests for the appointment of national investigations officers or indications that national investigations officers already deployed with contingents have received requests from Member States to start investigations (see figure VI).

Table 1
Pending investigations (2010-2015)

Nationality	*Total*	*2010*	*2011*	*2012*	*2013*	*2014*	*2015*
Democratic Republic of the Congo	**4**	–	–	–	–	–	4
Uruguay	**2**	–	–	–	2	–	–
South Africa	**2**	–	–	–	–	–	2
Chad	**1**	–	–	–	1	–	–
Nigeria	**1**	–	–	–	–	1	–
Canada	**1**	–	–	–	–	–	1
Burkina Faso	**1**	–	–	–	–	–	1
Cameroon	**1**	–	–	–	–	–	1
Burundi	**1**	–	–	–	–	–	1

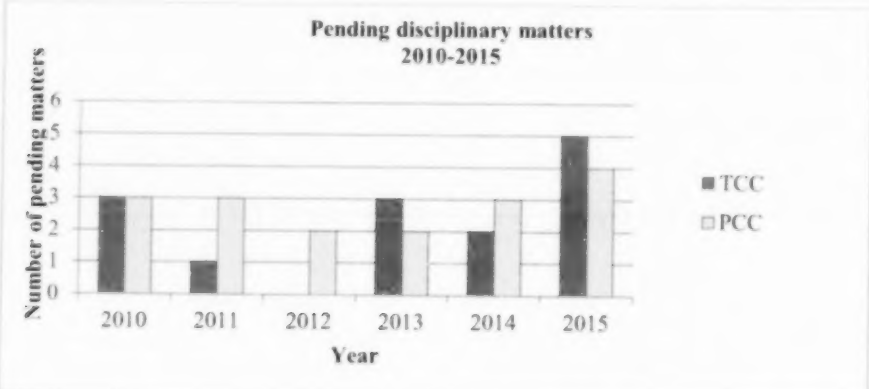
[a] See footnote to part D of the present annex.

Figure VI



19. Action regarding 31 allegations reported between 2010 and 2015 and substantiated by investigations is pending with 20 Member States, as opposed to 30 allegations reported between 2010 and 2014 that were pending at the end of 2015.[9] Information was provided on action taken regarding three allegations in 2010, two allegations in 2011, two allegations in 2012, one allegation in 2013 and two allegations in 2014 (see figure VII). Table 2 below lists the number of allegations pending action with specific Member States and the year in which the related allegations were reported.

Figure VII



[9] Additional verifications have identified that information was also pending for two more allegations from 2013.

Table 2
Pending action (2010–2015)

Nationality	*Total*	*2010*	*2011*	*2012*	*2013*	*2014*	*2015*
Nigeria	5	2	1	1	–	1	–
South Africa	3	1	–	–	1	–	1
Chad	3	–	1	–	1	1	–
Niger	3	–	–	1	1	–	1
Senegal	2	–	–	–	–	1	1
Togo	1	–	1	–	–	–	–
Sierra Leone	1	–	–	–	–	1	–
Mauritania	1	–	–	–	1	–	–
Mali	1	1	–	–	–	–	–
India	1	–	–	–	1	–	–
Guinea-Bissau	1	–	1	–	–	–	–
Guinea	1	1	–	–	–	–	–
Gambia	1	1	–	–	–	–	–
Canada	1	–	–	–	–	1	
Democratic Republic of the Congo	1	–	–	–	–	–	1
Congo	1	–	–	–	–	–	1
Cameroon	1	–	–	–	–	–	1
Madagascar	1	–	–	–	–	–	1
Moldova	1	–	–	–	–	–	1
United Republic of Tanzania	1	–	–	–	–	–	1

20. I am grateful to Member States, who responded to 92 per cent of requests for the appointment of national investigations officers or referrals for action on substantiated allegations. During the reporting period, the United Nations shared a template for reporting on results of investigations (for troop-contributing countries) and results of action taken (for both troop- and police-contributing countries).

21. Pursuant to General Assembly resolution 70/114, since 2007, eight allegations have been referred to Member States, specifically over issues of criminal accountability of United Nations officials or experts on mission. Whereas two responses were received, for a matter referred in 2015 and another referred in 2010, no response has been provided by Member States to six additional allegations referred between 2007 and 2015: two referrals in 2008, to Uganda and the Sudan; one referral in 2010, to Côte d'Ivoire; and three referrals in 2015, one to the Democratic Republic of the Congo and two to Liberia. It should also be noted that referrals under that specific resolution are not the only means through which criminal accountability measures may be taken, as host States or States of nationality may also decide on their own to prosecute United Nations officials and experts on mission.

2. Allegations against personnel deployed in entities other than peacekeeping operations and special political missions

Overall analysis of data — United Nations entities other than peacekeeping operations and special political missions

22. The number of new allegations of sexual exploitation or sexual abuse received from the departments and offices of the Secretariat and agencies, funds and

programmes of the United Nations system, excluding those from peacekeeping operations and special political missions, totalled 42 in 2016, compared with 30 allegations in 2015. This regrettably marks an increase in the number of new allegations from this group, departing from a steady linear average of 29 reported over the 5 past years (2011 to 2015). We note that the ratio by nature of allegations remained similar to previous years, with the bulk of the allegations being reports of transactional sex, exploitative relationships and rape of a child. This increase and the trends are disconcerting as they suggest that, despite the efforts of the United Nations in the past 13 years, in addition to the most recent initiatives prompted by the recommendations of the External Independent Review Panel, the Organization has not succeeded in its efforts to reduce to zero the number of allegations, and more importantly, to reduce to zero the number of victims affected by sexual exploitation and abuse perpetrated by United Nations personnel.

Overall analysis of data - Office of the United Nations High Commissioner for Refugees

23. The Office of the United Nations High Commissioner for Refugees reported that 26 new allegations were received in 2016, with the bulk of the allegations concerning transactional sex (8), exploitative relationship (7) and rape (4). Of those 26 allegations, 3 allegations were closed at the complaint level as the allegations did not lead to formal investigations. 10 of the allegations were found to be unsubstantiated either after an investigation or not supported by enough evidence to warrant a full investigation after a preliminary assessment was conducted. Investigative activities in the other 13 cases are still ongoing. 11 additional allegations were received during 2016 for which the subjects (alleged perpetrators) were not under employment contract with the Office of the High Commissioner.

Overall analysis data - United Nations Relief and Works Agency for Palestine Refugees in the Near East

24. The United Nations Relief and Works Agency for Palestine Refugees in the Near East reported that eight new allegations were received in 2016, of which two were found to be substantiated after an investigation was conducted, and in both cases the disciplinary process was pending at the end of 2016. Four allegations were found to be unsubstantiated either after an investigation or not supported by enough evidence to warrant a full investigation after a preliminary assessment was conducted. Investigative activities in the other two cases are still ongoing. One additional allegation was received during 2016 and subsequently closed as it was found that the subject (alleged perpetrator) was not under employment contract with the Agency.

3. Allegations reported against non-United Nations forces operating under a Security Council mandate

25. In resolution 70/286, the General Assembly requested the Secretary-General "to include in future reports information on allegations of sexual exploitation and abuse by non-United Nations forces operating under a Security Council mandate".

26. Non-United Nations international forces operate within the framework of international human rights law and, when applicable, international humanitarian law, as well as the mandate provided by the Security Council (and regional organizations as relevant).[10] Under the rubrics of sexual and gender-based

[10] Non-United Nations international forces are also deployed through bilateral or regional agreements with the host country.

violence,[11] as well as violence against children (including child sexual exploitation, abuse, pornography, sale and prostitution), international law prohibits many acts that fall under the definition of sexual exploitation and abuse under United Nations regulations.[12] International law also requires States to conduct prompt, thorough, impartial and independent investigations into violations of protected rights and to provide effective remedies to victims.

27. The engagement of the United Nations with States deploying international forces is thus based on international law and further on the Charter of the United Nations, the mandate of the Office of the United Nations High Commissioner for Human Rights (OHCHR) and when relevant, on the mandates of the Special Representatives of the Secretary-General for Children and Armed Conflict and on Sexual Violence in Conflict, and on relevant United Nations policies, including the human rights due diligence policy on United Nations support to non-United Nations security forces, when applicable.

28. Violations of international human rights and humanitarian law by non-United Nations international forces, including sexual violence, are usually monitored and reported on by the Office of the United Nations High Commissioner for Human Rights, including human rights components of peace operations, under the OHCHR mandate and, where relevant, the specific mandate of the peace operation. The Office does not have the mandate to carry out administrative or criminal investigations, which remains the prerogative of States.

29. The extent to which the Office of the United Nations High Commissioner for Human Rights and other relevant entities may gather information and report thereon depends on factors such as the deployment of a field presence of OHCHR in the particular setting, access to sites where violations have occurred, access to victims and other sources of information, capacity to systematically undertake monitoring and reporting, and concerns regarding the protection of victims and staff and the security situation. Furthermore, there are limited enforcement measures in place to guarantee the collaboration of States concerned in, for example, facilitating access to personnel records, establishing disciplinary and protective measures in-country, and ensuring prompt and effective follow-up when allegations are communicated. The legal and policy framework under which the United Nations monitors and reports on allegations by non-United Nations international forces does not provide for the detailed procedures and cooperation modalities agreed in memorandums of understanding with United Nations troop-or police-contributing countries.

30. Information gathered on allegations involving non-United Nations international forces informs advocacy and intervention actions carried out by the United Nations at the country and international levels. The leadership of missions has the responsibility, with the Department of Peacekeeping Operations or the Department of Political Affairs and the Office of the United Nations High Commissioner for Human Rights, for reporting allegations involving non-United Nations international forces and carrying out démarches at the country level with the regional organizations or States concerned. At the international level, the Office

[11] Sexual violence describes acts of a sexual nature against one or more persons or that cause such person or persons to engage in an act of a sexual nature by force, or by threat of force or coercion, such as that caused by fear of violence, duress, detention, psychological oppression or abuse of power, against such person or persons or another person, or by taking advantage of a coercive environment or such person's or persons' incapacity to give genuine consent. Forms of sexual violence include, inter alia, rape, attempted rape, forced prostitution, trafficking for the purpose of sexual exploitation, child pornography, child prostitution, sexual slavery, forced marriage, forced pregnancy, forced public nudity, forced virginity testing.

[12] Sexual exploitation and sexual abuse are forms of sexual violence, as well as, in some circumstances, of gender-based violence. However, not all conduct described in ST/SGB/2003/13 amounts in all circumstances to sexual violence.

of the United Nations High Commissioner for Human Rights, in close coordination with the Department of Peacekeeping Operations or the Department of Political Affairs, as well as with the Special Representatives of the Secretary-General for Children and Armed Conflict and on Sexual Violence in Conflict, engages with the States concerned to inform them of allegations and request them to undertake investigations, with adequate safeguards for victims, and prosecutions as appropriate.

31. As in many other contexts, underreporting by victims of sexual violence is common for a variety of reasons, including fear of retaliation, stigmatization or further repercussion, or apprehension about being subjected to multiple interviews. In locations where sexual violence is perpetrated by non-United Nations international forces, the status of those forces and the inherent imbalance of power and authority may also contribute to underreporting of violations, especially if there is no civilian presence, including for example, a human rights presence.

32. In several of the contexts in which non-United Nations international forces were operating in 2016, victim and witness protection measures were lacking. This had a direct impact on the willingness of victims and witnesses to report allegations as well as on the ability of OHCHR to effectively monitor and report on cases and to ensure adequate follow-up in the interest of victims. Given the cumulative effect of such factors, therefore, the data presented in the present report are not to be read as a comprehensive reflection of the actual scale of the problem.

33. The report presents information on 20 allegations received in 2016 against non-United Nations forces operating under a Security Council mandate. All the allegations have been communicated to concerned States or regional organizations for their action.

34. Most of the allegations affected children, 11 girls and 4 boys; 12 of whom allegedly suffered rape and 3 of whom allegedly suffered other forms of sexual violence. The five other allegations involved women; one of rape and another of other forms of sexual violence. The accounts provided describe situations of vulnerability where violations of rape have been on several occasions followed by further sexual violence in exchange for food, water, money or promises of security or assistance. Allegations reported have also included the use of boys to solicit contact with women for sexual purposes.

35. Of the 20 allegations received in 2016, the majority (12) occurred in 2014, while 1 allegation occurred in 2013 and 3 in 2016. In the case of four allegations, the date of the incident is unknown. Most of the allegations reported occurred in the Central African Republic (17), in the capital and in a remote location, with many of the victims living at the time of the incident in camps for internally displaced persons, and in the vicinity of deployments by non-United Nations international forces. The proximity of these forces compounded with an overall context of poverty, insecurity, unemployment, and limited or no access to food, health care or other services, exposed the population to greater vulnerability, conducive to sexual violence. Of the 20 allegations received, 13 involved members of Sangaris force (French military operation) and 4 involved members of the European Union-led task force (EUFOR-RCA), both forces deployed in the Central African Republic. The remaining three allegations involved members of military contingents of the African Union Mission in Somalia (AMISOM).

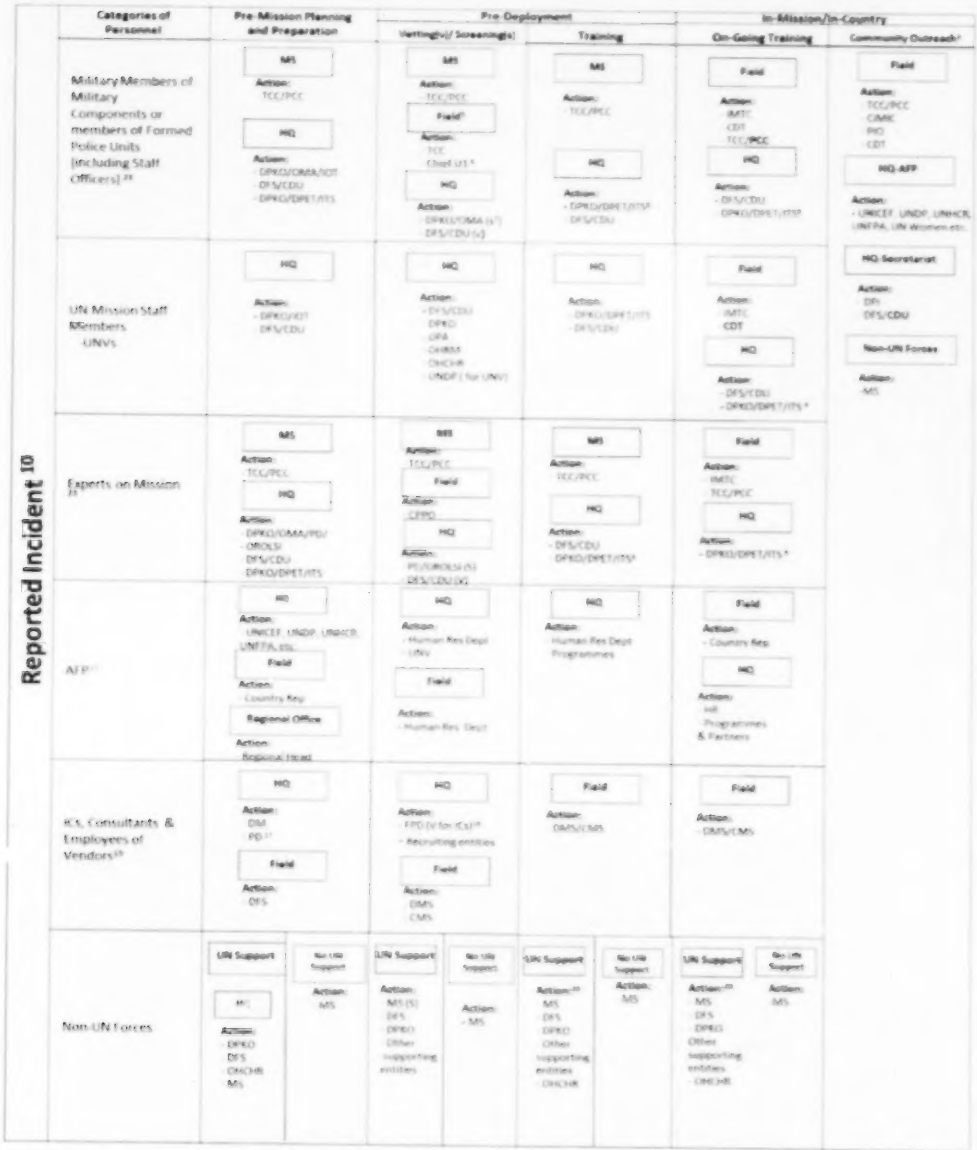
36. The Office of the United Nations High Commissioner for Human Rights has also received information pertaining to other serious human rights violations allegedly committed by non-United Nations international forces, which are investigated, raised with relevant States and organizations and reported accordingly.

Annex V

System-wide matrix of responsibilities to prevent and respond to sexual exploitation and abuse

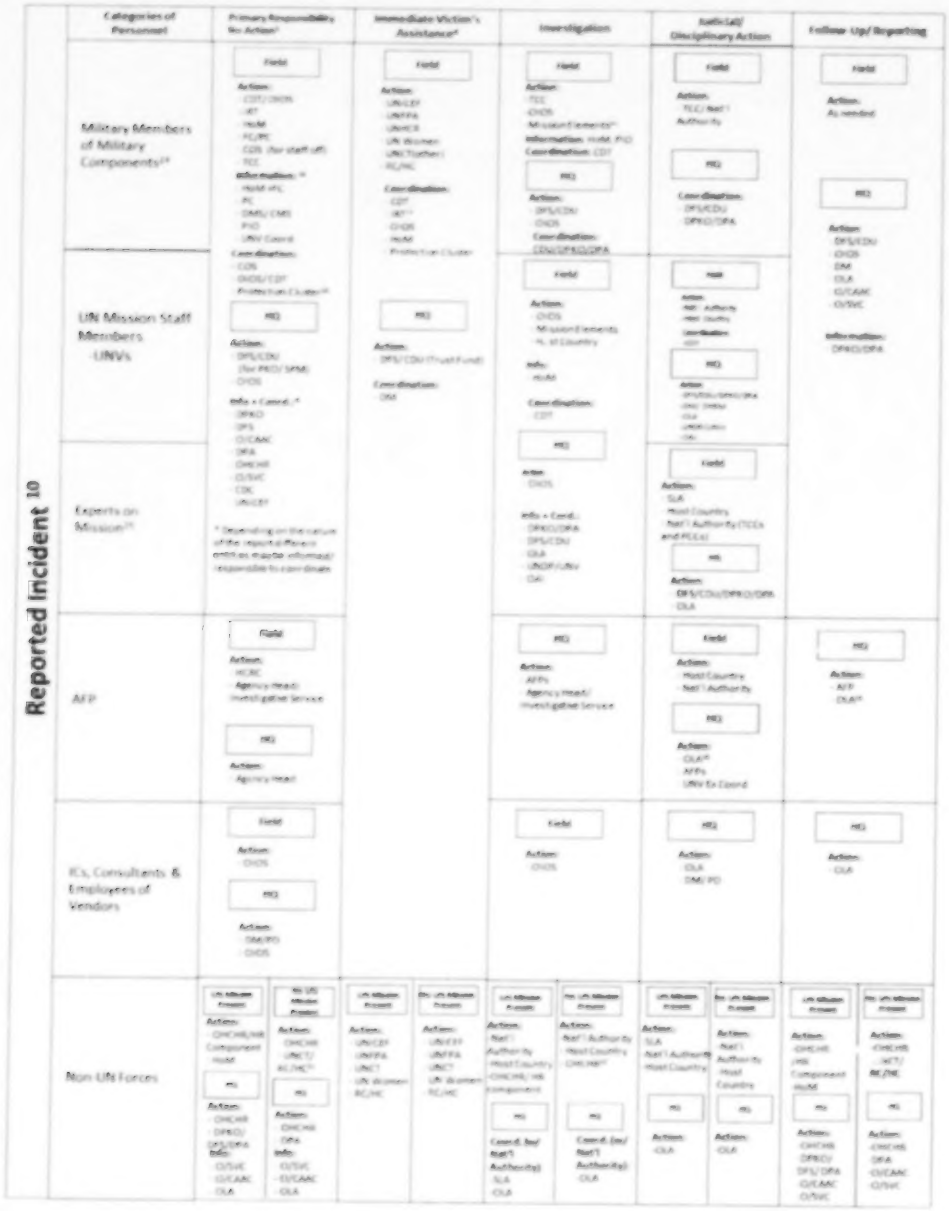
A. Prevention

Responsibility and accountability measures to prevent sexual exploitation and abuse



B. Response

Responsibility and accountability measures to prevent sexual exploitation and abuse



Acronyms

AFP	Agencies, funds and programmes
CDC	Chef de Cabinet
CDT	Conduct and Discipline Team
CDU	Conduct and Discipline Unit
CIMIC	Civil-military Coordination
CMS	Chief of Mission Support
COS	Chief of Staff
CPO	Chief Police Officer
DFS	Department of Field Support
DM	Department of Management
DMS	Director of Mission Support
DPA	Department of Political Affairs
DPET	Policy, Evaluation and Training Division
DPI	Department of Public Information
DPKO	Department of Peacekeeping Operations
EoM	Expert on mission
FC	Force commander
FDP	Field Personnel Division
FPU	Formed police units
GPP	Government-provided personnel
HoM	Head of mission
HR	Human resources
IC	Independent contractors
IMTC	Integrated Mission Training Centre
IOT	Integrated Operational Team
IRT	Immediate response teams
ITS	Integrated Training Service
MIL Obs	Military observers
MS	Member States
OCAAC	Office of the Special Representative of the Secretary-General for Children and Armed Conflict
OSVC	Office of the Special Representative of the Secretary-General on Sexual Violence in Conflict
OAI	Office of Audit and Investigations
OAJ	Office of Administration of Justice

OHCHR	Office of the United Nations High Commissioner for Human Rights
OHRM	Office of Human Resources Management
OIOS	Office of Internal Oversight Services
OLA	Office of Legal Affairs
OMA	Office of Military Affairs
OROLSI	Office of Rule of Law and Security Institutions
PC	Police commissioner
PCC	Police-contributing country
PD	Procurement Division
PIO	Public Information Office
PKO	Peacekeeping operation
RC/HC	Resident coordinator/Humanitarian coordinator
SGBV	Sexual and gender-based violence
SLA	Senior legal adviser (mission)
SLAS	Senior Leadership Appointments Section
SPM	Special political mission
TCC	Troop-contributing country
UNCT	United Nations country team
UNDP	United Nations Development Programme
UNFPA	United Nations Population Fund
UNHCR	Office of the United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNPOL	United Nations police
UNV	United Nations Volunteers
UN-Women	United Nations Entity for Gender Equality and the Empowerment of Women

Footnotes

[1] Preventive measures regarding sexual exploitation and abuse include, for example, training, risk assessment and mitigation measures. The agencies, funds and programmes are active members within the humanitarian cluster system, where actors are engaged in ongoing prevention and response to sexual and gender-based, including to sexual exploitation and abuse.

[2] Community outreach may include community sensitization and dialogue on the United Nations zero-tolerance policy; the provision of information on how and where to report sexual exploitation and abuse, the accountability process and how to access victim assistance; capacity development and engagement of community leaders; and work to address stigmatization and the underlying factors that increase the risk of sexual exploitation and abuse.

[3] Action: taking formal complaint, assessment, referral to victims' assistance, notification to: relevant entities, including judicial authorities and/or preservation of key evidence.

[4] Psychosocial services/immediate medical assistance.

[5] The categorization of "field" includes missions and country offices.

[6] For formed unit only.

[7] The policy on human rights screening of United Nations personnel applies to all types of personnel. It outlines the processes by which Member States provide certifications for personnel they nominate or provide, individuals provide self-attestations and the Secretariat exchanges information for the purpose of screening. Proactive screening is currently undertaken only for senior appointments (above the D2 level).

[8] Provision of guidelines and standards to Member States only.

[9] Provides of guidelines and standards to missions only.

[10] All United Nations and affiliated personnel are responsible for channelling the initial report into system.

[11] Depends on affiliation of perpetrator. Additional information-sharing at the discretion of the Head of Mission/or Special Representative of the Secretary-General.

[12] Field protection clusters are composed of United Nations system entities (Office for the Coordination of Humanitarian Affairs, UNHCR, UNICEF, UNFPA, OHCHR, etc.) and non-United Nations organizations, working on protection in a specific duty station.

[13] The role of immediate response teams is to preserve evidence and ensure immediate victim assistance.

[14] Other investigative units in the mission.

[15] "Agencies, funds and programmes personnel" includes agencies, funds and programmes staff and related personnel, including: agencies, funds and programmes staff, United Nations Volunteers working with agencies, funds and programmes; people deployed to agencies, funds and programmes under standby-personnel arrangements or on reimbursable or non-reimbursable loans; interns; personnel deployed to agencies, funds and programmes through an employment agency or similar arrangements; and individuals who have a consultancy contract with agencies, funds and programmes.

[16] Only for funds and programmes, given that the Secretary-General has no authority over officials/experts on mission of agencies.

[17] Procurement Division does not usually deal with independent contractors as in individual personnel but does ensure that provisions related to sexual exploitation and abuse are included in the contracts with vendors.

[18] Vetting is with regards to the contractor, not necessarily with individuals employed by the contractor.

[19] Independent contractors other than those accorded expert on mission status and employees of vendors.

[20] The application will vary depending on the level of support available in the field.

[21] In cases where there is no United Nations mission the United Nations country team/protection cluster/ humanitarian and resident coordinator will take action.

[22] If present. If the Office of the United Nations High Commissioner for Human Rights is not present, this may require deployment of OHCHR, depending on capacity.

[23] As troop- and police-contributing countries are responsible for pre-mission and predeployment activities, experts on mission are included in this category. Experts on mission include military experts on mission, staff officers deployed on an individual basis, military observers, military liaison officers, individual police officers and all members of formed police units and government-provided personnel.

[24] To include any civilian members subject to military law of the national contingent (A/C.5/69/18 memorandum of understanding for military contingents, art. 7 quinquiens, para. 7.22).

[25] Experts on mission include military experts on mission, staff officers deployed on an individual basis, military observers, military liaison officers, individual police officers and all members of formed police units and government-provided personnel.

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